effective practices series

Enhanced Supervision

Probation & Pretrial Services Branch Court Education Division Federal Judicial Center 1994

This guide is a compilation of practices that chief probation officers and line staff consider effective and of possible interest to other districts. Participants at a Federal Judicial Center symposium selected which practices should be included in this publication. The individual descriptions were prepared by the officers who use them. The guide was undertaken in furtherance of the Center's statutory mission to develop and conduct programs of continuing education and training for personnel of the federal judicial system. The views expressed are those of the authors and not necessarily those of the Federal Judicial Center.

Table of Contents

Ackn	owledgmentsvi
Intro	ductionvii
How	to Use Effective Practicesxi
I.	Automated Caseload Activity Tracking List
II.	Communications with the Court
III.	Affixing Limits on the Quantity and Type of Contract Services Provided for Offenders

IV.	Electronic Monitoring	61
	Electronic Monitoring Selection Investigation Checklist	
	Modified	63
	Home Confinement With Electronic Monitoring	
	Requiring Offenders to Self-Pay for EMS	67
V.	Ensuring Compliance with Court Ordered Sanctions	69
	Applying Federal and State Tax Refunds Toward Fines and Restitution	71
	Collection of Fines and Restitution	
	Debtor Exam	
	"Finders"—a Commercial Credit Report Inquiry Service	
	Five-Point Financial Investigation	
	Monthly Print-Outs on Court Obligation Balances	
	Payroll Deduction for Fine and Restitution Payment	
	Restitution and Fine Agreement	
VI.	Field Work	87
	Clerical Staff Record Checking Program	
	Collateral Networking	
	Digital-Pager System	
	Field Resources	
	Flex Time	97
	GSA Car Fleet Expansion and Remote Parking	
	Revised Field Sheet	
	Use of Hi-Tech Equipment—Cellular Phones and Voice	
	Mail—to Improve Supervision Contacts	
	Weekend Hours for Supervision of Offenders	105
VII.	Management Support and Review	
	Case Audits Conducted by Senior USPO or Line Officer	
	Case Audits of Units Conducted by the Chief Deputy	
	Caseload Staffing with SUSPO	
	Court Watch	
	Enhanced Supervision Subcommittees	
	Joint Supervision Meeting	119
	Line Supervisor "Fill In"	
	Self-Directed Quality Work Teams	
	Senior Officer Mentoring Program	
	Supervision Field Office	127
	Supervisor Ride-Along	
	SUSPO Supervision Quality Control Worksheet	
	Tri-District Audit of ESP Programs	133
	Use of Senior Officers, Team Leaders, or Specialists to	40-
	Supervise USPOs in Supervision Units	135

VIII.	Managing Non-compliance Assign Probation Officers to CSC	137
	AUSA Assignment to U.S. Probation	141
	Dealing with Delinquent Written Monthly Supervision	
	Reports $(a/k/a)$ Operation MESS—Mail Early or See the	
	Supervisor)	143
	Graduated System of Sanctions for Substance Abuse	
	Guidelines for Violation Hearings	147
	Intensive Supervision	149
	Modification of the Conditions of Supervision Packet	151
	Non-compliance Case Conference Chaired by a Deputy Chief	
	Probation Officer or Supervising Probation Officer	153
	Non-compliance Workbook	
	Review of Requests for Summons and Warrants	
	"Top Five" Supervision Model	
	Violation Worksheet	
	Violators Sanction Center	
	Violatoro dariettori Certeri	100
Κ.	Officer Safety	165
	Defensive Tactics Instruction	167
	Field Supervision Teams for High-Risk Cases	
	Identification of Dangerous Areas	
	Instruction Card for an Officer-Involved Shooting	
	Processing Seized Evidence	
	e e e e e e e e e e e e e e e e e e e	
	Safety Academy Search and Seizure	
	State Patrol Safety Check-In	101
	Prerelease Programs	183
	CCC Seven-Day Visit	
	Coordination with Community Corrections Center Staff	
	Early Supervision	
	Inside the BOP	191
	Prerelease Services	
	Prerelease Supervision of Community Correction Center	
	Inmates	195
	Risk Preassessment and Supervision Preassignment	
	Supervising Bureau of Prisons Inmates on Home	
	Confinement with Electronic Monitoring	199
	Use of BOP Transitional Services Funds for Substance Abuse	1//
		201
	Treatment	∠01
α.	Programs Designed to Respond to Supervision Issues	203
	Educational Presentations and Group Counseling Provided	
	by District of Utah Probation Officers	205
	Family Orientation to the Supervision Process	
	In-House Program on Lifestyle Changes for Offenders	
	THE TROUBLE TO STATE OF BILLDRY IC CHARGES TO COLUMN COMMENT	·····

	Job Squad	211
	Offender Orientation	
	Special Condition of Community Service Added for	
	Unemployed or Under-Employed Offenders	215
	Women in Need (WIN) —A Program for Women Convicted	
	of a Financial Crime, or Who Were Coerced into	
	Committing a Crime	217
XII.	Risk Control Activities	
	Alcohol-Related Driving Arrests Intervention Policy	221
	Employment Checks Following Offender's Resignation or	
	Termination	
	Hunting License Verification	
	Informants	
	Law Enforcement Liaison	
	Mail Cover	
	Monitoring Prescription-Abusing Offenders	233
	Team Surveillance Operation to Confirm Accuracy of	225
	Employment Reports (Targeted at High-Risk Offenders)	235
XIII.	Specialized Caseloads	237
, (1111,	Formation of "Compliance" Caseloads	
	Intensive Supervision Caseload	
	Specialization	
	1	
XIV.	0	245
	Bar Code Mechanism and Offender ID to Record Urinalysis Data	247
	Contracting with Private Agencies to Collect Urine	
	Specimens	249
	Initial Drug Testing	
	Notification of DAPS Violations by Contractor	
	Offender Urinalysis Tracking and Weekly Reporting	
	Paying for Urinalysis Collection on a Per-Hour Basis	
	PB3000 Alcohol Testing for Alcohol Aftercare	
	Pilot Program in Hand-Held Drug Testing	261
	Random Urine Surveillance Employing Electronic Pagers	263
	Surprise Urinalysis Program	265
	Twenty-Four Hours, Seven-Days-Per-Week Contractor	
	Availability for UAs	267
	Use of On-site Laboratory for Drug Testing Urinalysis	269
XV.	Training Resources	271
/ . V .	Mental Health Resources Manual	
	New Officer Certification Program in the Fundamentals of	
	Supervision Services	275
	Reference Guide for Supervision of Federal Offenders	

Training as Related to Enhanced Supervision	279
Use of BOC 2543—Training Enrollments for Local Training	
Appendices	283
Memorandum to Chiefs Soliciting Practices	
Memorandum to Symposium Participants	
Effective Practices Criteria	
Samples of Effective Practices	293
Ride Along	295
Offender Copayment Plan	

Acknowledgments

We would like to acknowledge the contributions of the members of the Planning Committee for *Effective Practices in Enhanced Supervision* and to express our thanks and appreciation for their work and commitment to this project.

The members are:

Terry Callahan, Chief U.S. Probation Officer, Utah and co-chair of the Supervision Committee of the Chiefs Advisory Council

Jim Duckett, Chief U.S. Probation Officer, South Carolina, chair of the Training and Education Committee of the Chiefs Advisory Council

Jim Provence, Chief U.S. Probation Officer, Eastern District of Kentucky

Susan Rodolf, Supervising U.S. Probation Officer, Western District of Texas

Harold Wooten, Project Manager, Supervision of Offenders, Probation and Pretrial Services Division of the Administrative Office of the U.S. Courts

Introduction

Purpose

The purpose of this publication is to provide a vehicle for chief probation officers and line staff to share with their colleagues in other districts practices that they have found to be effective in the supervision of federal offenders.

Although some editing has been done to ensure clarity and consistency, the practices included in this publication were originally authored by the contact person or designee and are essentially the words of peers to peers.

The Federal Judicial Center recognizes that many practices that work well in one district may not work as well in another. We are publishing these practices to make them available to everyone so that you may have the opportunity to choose among a wide range of practices.

Background

The principles of enhanced supervision—enforcing court ordered sanctions, risk control and correctional treatment—were introduced to the system in Monograph 109, *Supervision of the Federal Offender*, published in 1991 by the Probation and Pretrial Services Division of the Administrative Office (AO). The Federal Judicial Center (FJC) provided national training on enhanced supervision to all districts.

At the request of the Judicial Conference of the United States' Subcommittee on Supervision of the Criminal Law Committee, the AO conducted a 20-district peer review in 1993 to evaluate the implementation of enhanced supervision. The report to the committee concluded that there was a wide variance in performance among districts and that some districts' performance was "disappointing." Factors that appeared to distinguish poorly performing districts from those that performed the supervision function well were identified. The report concluded with a series of recommendations to improve the quality of supervision, which were subsequently detailed in "Enhanced Supervision Phase II, A Strategic Plan." The plan was developed by the AO in consultation with the Supervision Committee of the Chiefs Advisory Council and has the endorsement and support of the Criminal Law Committee.

Among the FJC's contributions to the strategic plan are the compilation and distribution of *Effective Practices in Enhanced Supervision* and a companion self-assessment guide. The guide —which will be distributed in early 1995—can be used to identify and evaluate the district's strengths and needs. Both projects were endorsed and supported by the Chiefs Advisory Council, its Supervision and Training and Education Committees, and the AO.

Evolution of *Effective Practices*

Studies have shown that solutions to many of the challenges that individual districts face can be found in the collective wisdom and efforts of all districts. The system has always shared its knowledge informally. However, there was no formal mechanism to collect, publish and distribute the information.

Clearly, districts perform at different levels in different areas. What may be valuable information to one district may not be as useful to another. The key is to be able to identify and transfer good ideas from one district to another.

Preliminary planning

The FJC consulted with the AO and sought the advice and suggestions of the Supervision Committee at its February 1994 meeting. A planning committee was formed in April that included representation from the AO, the Training and Education Committee, the Supervision Committee, and line officers. The committee's task was to

- design a process to identify and collect practices currently in place in the system;
- establish standards and criteria to judge the effectiveness of the practice;
- identify goals for a symposium where the practices would be reviewed and selected for publication; and
- select participants for the symposium.

Following the planning committee's recommendations, the FJC sent a memorandum to all probation chiefs requesting that they share information about practices, strategies, programs or procedures that have improved the supervision effort in their district. A format for recording the information was enclosed, along with samples of effective practices.

Of particular importance was our instruction to ensure that the practices met the following criteria established by the committee:

- The practice is currently in place in the district.
- There is a clear statement of the goal and objective.
- The practice can be done with resources currently available in the district (that is, not what could be done if only we had more officers, more money, more equipment).
- The practice adheres to national policies and procedures, and the tenets and principles of enhanced supervision.
- The practice has wide application and is not just addressing a districtspecific issue or problem.
- The effectiveness can be measured
 - either on its own merit (on the face of it, it makes sense and works), or
 - it can be objectively evaluated (for example, there is a measurable increase in fine collections, or a measurable decrease in the number of positive urines).

• The practice is fiscally responsible and cost effective (immediate or long term).

Copies of the memoranda, the form, samples, and the criteria are included in the appendix.

Under a very short deadline, 66 districts responded to our request, submitting over 200 practices written by chiefs, managers, line officers, administrative staff and clerks. The practices ranged from the very basic to the innovative and creative. They addressed a wide range of problems and challenges, such as the essential elements of enhanced supervision, management practices, automation, training, safety, and communication with the court.

Symposium

The FJC subsequently convened the Symposium on Effective Practices in Enhanced Supervision from June 1-3, 1994 at the Academy in Baltimore. The purpose of the symposium was to review and select practices for publication. Symposium participants are listed below.

Participants worked in small groups, reviewed each practice, and reached consensus to determine if it met the criteria and standards for publication. In instances where the practice did not meet all the criteria, the reason was noted and the practice was reviewed by the plenary group. In light of current fiscal restraints on all districts, symposium participants cautioned that some programs might increase costs in one area or require a transfer of funds from one BOC to another.

After completing their assigned task, symposium participants were asked to develop ideas and suggestions to ensure that this collection of practices is used by every district as a resource so that all may benefit from the collective experience of their colleagues. The participants also discussed ways to continue the momentum towards improving the quality of supervision system-wide.

Symposium Participants

At the recommendation of the planning committee, chief probation officers who had expressed an interest in supervision issues, and represented a cross-section of the system were invited to participate in the symposium. They included:

Bob Brent, District of Michigan Western
Dan Broome, District of North Dakota
Loren Buddress, District of California Northern
Carlos Juenke, District of Florida Southern
Keith Koenning, District of Ohio Northern
John Meyer, co-chair of the Supervision Committee, Chiefs Advisory
Council, District of Illinois Central

Barry Polsky, District of Pennsylvania Eastern Steve Rackmill, District of New York Eastern Dave Sanders, District of Nevada Trudi Schmitt, District of Wisconsin Eastern Dan Stowers, District of Florida Middle Eugene Wesley, District of the District of Columbia Jerry Williford, District of Georgia Northern

Planning committee members in attendance included:
Terry Callahan, co-chair of the Supervision Committee of the Chiefs
Advisory Council, District of Utah
Jim Duckett, chair of the Training and Education Committee of the Chiefs
Advisory Council, District of South Carolina
Jim Provence, District of Kentucky Eastern
Susan Rodolf, District of Texas Western
Fahy Mullaney

The AO was represented by:
Harold Wooten, Project Manager, Supervision of Offenders
O. Renee Green, Regional Administrator
Loretta McCray, Regional Administrator
Steve Reynolds, Regional Administrator
Bill Van Scoy, Regional Administrator

The Federal Judicial Center was represented by: Steve Wolvek, then Director of the Court Education Division Dave Leathery, Chief of the Probation and Pretrial Services Branch Kate Lynott, Training Specialist

How to Use Effective Practices

Symposium participants agreed that the publication of these practices in *Effective Practices in Enhanced Supervision* is just a beginning. However, as a result of the careful planning of the committee, the enthusiastic response from the field, and the willingness of the symposium participants to complete their assigned tasks and reach consensus, *Effective Practices in Enhanced Supervision* does have something for everyone.

Participants were unanimous in their belief that no matter what the district's current performance level, every district should be able to implement at least one idea from this compilation that will take them to the next level of improved performance, or discover a practice that they can combine with their own current practices to create a new and better way of doing things. Some practices will be more easily applied in large or small districts, in rural or urban settings, in bifurcated or generalist districts.

How the practices are presented

The effective practices are presented in the following format:

- Practice title:
- Issue, problem or challenge that the practice addressed;
- Objective (states the goal, effect, or anticipated outcome);
- Description of the practice (briefly describes the program, policy or strategy);
- Benefits (positive outcomes realized from this practice);
- Resources (time, money, space or personnel required to put the practice into place);
- Suggestions for implementation (tips or potential problems that others might encounter);
- Results/evaluation (the methodology used to evaluate its effectiveness or a simple statement of why the author believes the practice works); and
- Chief/contact (provides the chief's name or a contact person within the office to call for additional information).

You should contact the author of the practice to obtain any written materials or computer programs that are referred to, or for further information about a specific aspect of the practice.

In instances where similar practices were submitted, they were cross-referenced at the bottom of the page. Note that "similar" does not mean exact. Referenced districts should be contacted for additional information if that practice is of interest to you and will benefit your district.

Practices were organized by subject matter into one of fifteen chapters. Some practices could admittedly be assigned to several different categories.

How to begin

As part of their work at the symposium, participants were asked to suggest ideas for implementation of the effective practices in this publication. Their collective response can be summarized as:

- 1. Look at it.
- 2. Do something.
- 3. Try one.

Look at the material. Involve staff and form a group committed to making a practice work. Develop a plan; choose at least one idea that you believe will work and put it into place. Begin with something simple, the results of which will be readily apparent. Review it, evaluate it and make changes if necessary. Continue the process with other practices.

A compilation of the suggestions from the symposium follow:

- Use review team information or the self-assessment instrument to identify areas needing attention and then review the effective practices to find a solution.
- Form small pilot groups to put into practice, share and modify the ideas presented.
- Provide copies of the publication to staff—from management to line officers and clerical staff—and involve them in the process.
- Provide copies of the publication to new staff as part of their orientation.
- Delegate implementation of specific practices to staff.
- Encourage team and unit competition for implementing strategies.
- Have each officer pick from one to three practices from the publication and take the responsibility for implementing those practices.
- Give staff blank forms and have them create their own ideas for effective practices.
- Reward teams or individuals for implementing a new program.
- Hold an off-site "Supervision-a-thon." Make it different from daily work activities and encourage creativity. Have contests and award prizes for ideas and program implementation. Give out souvenir gifts, such as coffee mugs with supervision-related logos, t-shirts, or caps.
- Act on ideas quickly; emphasize a short turn-around.
- Conduct a staff retreat and invite the judges to participate in the discussions relating to supervision.

How to maintain the momentum

The participants suggested ways to keep the momentum and focus on supervision issues.

- 1. Repeat the process.
- 2. Try something else.

The chief must be committed to the process and supportive of staff's efforts to continually improve practices, polices, and procedures. A compilation of suggestions from the symposium follows:

- Empower your supervision committee to implement new strategies and practices.
- Set milestones and due dates and honor them.
- Empower groups to be innovative, give them permission to fail and the encouragement to try again.
- Perform periodic reviews and make revisions accordingly.
- Continue to reward good performance.
- Network.
- Communicate with the court.
- Have special events that focus on supervision.
- Stress immediate implementation.

Finally, symposium participants suggested that chiefs contact the AO, the FJC, chiefs involved in the planning committee and the symposium for continued assistance and guidance. Networking with each other and continuing the learning process is vital to improving supervision.

One group simply suggested that whatever you do, make a lot of noise about it! Let everyone know that improving the quality of supervision of the offender is important and that it is a critical function of the probation officer's responsibilities.

Chapter I Automation

Automated Caseload Activity Tracking List

Issue, problem, challenge being addressed:

The need to have an automated tracking list for monthly supervision activities on individual ESP plans.

Objective:

To have one automated document that lists all offender's names and supervision activities scheduled for the month.

Description of the practice:

At the beginning of each month, the officer prints out an alphabetical listing of his or her caseload. The officer can check off on the computer or a hard copy all of the supervision activities to be completed that month. A copy of this form is available from the district upon request.

Benefits:

The tracking sheet helps officers complete all listed supervision activities. By automating the list, names can easily be added or deleted so that a new alphabetical listing of cases can be printed out each month without having to hand write the new list of names.

Resources:

Access to a PC and WordPerfect 5.1.

Suggestions for implementation:

Some WordPerfect operating instructions will be needed to add and delete names from the list. The activity tracking list can easily be adapted to each district's needs and works well with the individual case activity list generated by the USPCM program.

Results/evaluation:

The automated version has assisted officers in tracking supervision activities with less time spent writing out a new list each month.

Chief or contact:

Thomas L. Moore, III Southern District of Georgia (912) 652-4355

Automated Chronological Record System

Issue, problem, challenge being addressed:

Creating chronological records effectively and efficiently.

Objective:

- Create chronological records that reflect issues of court conditions, risk, and correctional treatment.
- Maintain accurate records while coping with a reduction in clerical support staff.

Description of the practice:

Using the district's Probation Automated Running Record System (PARS), officers create their own chronological records, using WordPerfect macros. Clear and concise statements reflecting supervision responses are selected from a menu to respond to a supervision issue.

Benefits:

The macros relate to supervision goals and objectives in accordance with the enhanced supervision model. They help the officer to stay focused on relevant issues. The program creates an electronic version of the chronological records in a network mode that supports multi-users, thus, supervisors, deputies and chiefs have immediate access to the records. Since officers generate the chronological records, the program helps officers respond to reduced clerical support.

Resources:

WordPerfect 5.1 software and the PARS program from the Northern District of Illinois.

Suggestions for implementation:

The program is only a tool, and, like all tools, the users must exercise care and avoid misuse. Acceptance of the principles of enhanced supervision is necessary to maximize the use of this program. Officers should be familiar with the purpose and legal requirements of chronological entries.

Results/evaluation:

In the past, dictated chronologicals had a turn-around time of days or weeks. The chronologicals are now done immediately after contacts and are up to date. The limited clerical support staff are now free to generate special reports. Generally, the program will work if the officer is a good performer and is committed to enhanced supervision. The program will not transform a poor performer into an excellent one.

Chief or contact:

William T. Foster North District of Illinois (312) 435-5704

(A similar practice was also submitted by John S. Hession, Central District of Illinois, (309) 671-7031. You may want to contact this district for additional information.)

Automated Credit Information Retrieval

Issue, problem, challenge being addressed:

It is often difficult to properly assess the offender's ability to pay sanctions, legitimacy of income, proper use of credit, and responsible use of finances.

Objectives:

To provide a quick, cost-effective means to obtain financial data on offenders under supervision.

Description of practice:

Our office has utilized the General Services Administration's contracts with TRW and CBI Equifax for computer retrieval of credit reports. The reports are used during the presentence investigation, and supervision officers follow up periodically to ensure that offenders are meeting financial conditions, such as fines, restitution, and credit preclusion. Credit reports also supply information regarding major purchases, civil judgments and liens, bankruptcy, addresses used, addresses and phone numbers of creditors and misuse of social security numbers.

Benefits:

Credit reports provide the officer with a ready source of information to pursue to determine if offenders are being financially responsible.

Resources:

Obtaining a hard copy of credit reports can be time-consuming and costly (\$25 —\$50 per report). The GSA contract for automated retrieval is very inexpensive (approximately \$1.50 per report). A modem, computer terminal, software (approximately \$300), and a trained operator are needed to retrieve reports.

Suggestions for implementation:

Credit bureaus will supply local representatives and training. The office will need to comply with disclosure regulations of the Fair Credit Reporting Act. The offender must sign a release (good for 90 days). The offender can be ordered by the court to submit to financial disclosure, including credit history.

Results/evaluation:

Officers have gained a rich source of information for ongoing assessments of the offender's ability to pay and other financial investigation needs.

Chief or contact:

Dick Westman Western District of Washington (206) 553-7435

(A similar practice was also submitted by Phyllis J. Nelson, Central District of Illinois, (217) 492-4215. You may want to contact this district for additional information.)

Automated Violation Packet System

Issue, problem, challenge being addressed:

Preparing documents for supervision violations.

Objective:

To make violations easier to prepare and provide more accurate and uniform information.

Description of the practice:

Using the WordPerfect computer program, all violation forms and memos can be formatted so the user either fills in short blanks or selects macros to complete the violation package.

Benefits:

Because violations are not prepared frequently, officers save time using macros since they do not have to "reinvent the wheel" whenever there is a need to complete a violation packet. Preparation time saved can be significant, depending on the extent of the violation packet. Review time is shortened because the violation format is uniform and the macros' wording is consistent.

Resources:

An automation specialist to develop the program, load it on to the computers and provide hands-on training for staff.

Suggestions for implementation:

Must have an agreed-upon violation format that includes the petition, sentencing options, and recommendations. After the program is developed or adopted from another district, hands-on training for officers and clerks is essential.

Results/evaluation:

Interviews with officers show a significant reduction in the time needed to prepare a violation package.

Chief or contact:

Kevin D. Lyons Western District of New York (716) 263-6810

Automation of Payments and Community Service Work Records

Issue, problem, challenge being addressed:

To efficiently monitor financial and community service obligations on a monthly basis for all offenders.

Objective:

- For the probation clerk: to increase efficiency in posting payments and accuracy in verifying account balances.
- For the probation officer: to develop a system, using automation, to monitor restitution and fine payments.

Additionally, we have attempted to produce a running record of payments organized so that the probation officer can check payment histories and monthly payments and obtain a running total of restitution, fines, special assessments, and community service work hours from one document.

Description of the practice:

When statements of account records are received from the U.S. attorney's Financial Litigation Unit, the probation clerk posts the date of payment and amount in the Supervision Analysis Management Systems (SAMS). When community service hours are received and verified by the probation officer, the record of hours is posted by a clerk in the automated system.

With the cooperation of our PC administrator, and senior probation clerk, we have developed a program that allows us to record the scheduled monthly payment prescribed by the probation officer, a six-month running record of payments, and the balance of the offender's obligation printed in a monthly report. The offender's expiration date from supervision is also printed on the report. Recently, we placed our community service hours on the document and it now shows a six-month record of hours completed, the balance due and the offender's expiration date. A copy of each print-out is available upon request.

Benefits:

The probation clerk does not have to physically pull a file to post a payment. The system generates an up-to-date report at any time. The clerk does not have to compile and update data to produce a report.

For the probation officer, the automation of these records greatly reduces the time needed to check fine and restitution payments and community service hours. All of the information is printed in a concise chart that can be updated at any time and can easily be taken in the field.

Resources:

The system requires a computer network and the SAMS program.

Suggestions for implementation:

Our district would need to provide other districts the automated system, SAMS, via disk, and an operations manual. System enhancements and technical assistance would need to be provided.

Results/evaluation:

The efficiency of the system, its accessibility, time-saving and step-saving features have already been realized by our district. Based on feedback received by our management staff, this practice has been effective for all officers in our district.

Chief or contact:

John S. Hession Central District of Illinois (309) 671-7031

(A similar practice was also submitted by George F. Gregory, Western District of Pennsylvania, (412) 644-6425. You may want to contact this district for additional information.)

Computer Check for Assets

Issue, problem, challenge being addressed:

Restitution and fine payments.

Objectives:

To ensure that offenders were meeting their court-ordered financial obligations.

Description of the practice:

USPOs use LEXIS/Assets to check nationally for property in the offender's name or alias, and in the name of family members in the event that the offender has signed over assets. If assets are located, the officer advises the Financial Litigation Unit of the U.S. attorney's office. That office will place a lien on the property. In some instances, the offender's wages can be garnished.

Benefits:

Assists victims in recovering their money. Protects the government's interest in having fines paid.

Resources:

Officer time.

Suggestions for implementation:

Train USPOs in the use of LEXIS for the most effective use of checking assets; open lines of communication with the Financial Litigation Unit of the U.S. attorney's office.

Results/evaluation:

Has been successful in focusing attention on collecting restitution and fines; has helped deal with less cooperative offenders or those attempting to hide assets; has increased cooperation between the U.S. attorney's office and U.S. probation in meeting mutual collection goals.

Chief or contact:

William A. Barrett Eastern District of California (209) 487-5822

Computer Link to Law Enforcement Agencies' Records

Issue, problem, challenge being addressed:

To enhance the use of automated law enforcement records for arrest checks so that officers devote less time to this process.

Objective:

To allow officers to utilize time more efficiently and maintain better supervision of offenders.

Description of the practice:

As more and more law enforcement agencies place their records on computer, many will allow the probation office to access their automated records via modem. Officers can now use a PC to check for new arrests and outstanding warrants. Some law enforcement agencies are also willing to list court case numbers and dispositions to help officers locate court records more efficiently.

Benefits:

Decrease in field time required to do arrest checks. Ability for officers to check on offender's criminal activities as frequently as needed.

Resources:

A PC and modem are required. Agencies do not usually charge for the access service. Time requirements are minimal.

Suggestions for implementation:

Counties with computerized records often have an administrator in computer systems. This person should be the first contact. Often, there is a committee that approves access requests.

Results/evaluation:

This practice worked well in Nashville and Clarksville, Tennessee. We expect to expand to smaller cities as soon as automation capabilities are available.

Chief or contact:

Cleatrice C. McTorry Middle District of Tennessee (615) 736-5771, ext. 137 or 736-5610

Officer Staff Computer Use

Issue, problem, challenge being addressed:

- Management of time.
- Maintaining adequate records of supervision activities.

Objective:

- To improve the officer's ability to manage his or her time and a caseload.
- To maintain adequate and current records of activities related to caseload supervision.

Description of the practice:

All officers have computers and most have printers in their offices. Many also have modems to access Lexis/Nexis, etc. Lap tops are also available. All officers use automated forms available from the AO, USPCM and other macros and forms that were created in house.

Benefits:

Greatly improves the efficiency of record keeping and getting work done. All officers gradually realize how much time they can save after they have mastered some basic computer skills.

Resources:

Some extra time is needed for training and, of course, it is easier if you have a PC specialist. Computer equipment and software are also necessary.

Suggestions for implementation:

There should be a gradual process of "selling" officers on the advantages of learning to use the computer. Training should be designed to fit various ranges of skills and interest levels of the officers. Create user-friendly macros to help with uniformity. For example, we have a macro for entering chronologicals in the same format as a more skilled officer or secretary would use. We emphasize a team approach with the secretary who is responsible for editing. Nothing goes out of the office typed by the officer without a secretary reviewing it and packaging it properly. If you want to take full advantage of automation, it is important to have a PC specialist who understands your office needs as well as computer hardware.

Results/evaluation:

The officers have fully accepted the computers and now wonder how they managed without them. Most feel that they have a better sense of control over their work. Files are more up to date; the database connected with USPCM is much more efficient; and secretaries are very busy, but feel that

they are doing more constructive, important work than "just typing chronos."

Chief or contact:

Ellen Krause District of Delaware (302) 573-6179

Chapter II Communications with the Court

Annual Report to the Court

Issue, problem, challenge being addressed:

Communicating with the court.

Objective:

- Share with the court your programs, services, workload and accomplishments.
- Market enhanced supervision.

Description of the practice:

An annual report can serve as a vehicle to inform your court of supervision activities.

Benefits:

- Facilitates development of a supervision philosophy.
- Enlists the support of the staff.
- Encourages goal setting and long-range planning.
- Improves relationships with judges.
- Facilitates court support of your supervision effort.

Resources:

Cost of publications. Personnel time for staff to contribute to the report.

Suggestions for implementation:

Designate a single editor, for example, the deputy chief.

Results/evaluation:

Judges and officers have given favorable feedback on the report and its contents. Officer recognition is beneficial.

Chief or contact:

Jon E. Lawhead District of Nevada (702) 388-6488

Closing Supervision Report

Issue, problem, challenge being addressed:

Our judges received primarily negative feedback on probation or supervised release cases, usually through submission of a Form 12. The court was unaware of efforts taken by the probation officer to effect successful termination of supervision unless intermediate sanctions involved inpatient treatment or home confinement.

Objective:

To make the court aware of ongoing supervision efforts.

Description of the practice:

A supervision summary is prepared by the USPO and is submitted to the court with the Form 25 or 35. The summary describes how conditions were enforced, which risk control measures were employed, and the results of correctional treatment. A copy is kept in the case file.

Benefits:

Enables USPO to communicate positive information regarding offenders placed on supervision and the work of probation office staff.

Resources:

USPO time to review the case prior to closing and prepare the report.

Suggestions for implementation:

Explain the intended benefits of the report to the court and staff.

Results/evaluation:

Staff appreciate the opportunity to communicate positive information and efforts made to achieve successful completion of supervision to the sentencing court.

Chief or contact:

T. A. Hummel District of Idaho (208) 334-1630

Liaison District Judge

Issue, problem, challenge being addressed:

Court support of general probation operations.

Objective:

To maximize judicial awareness and support of enhanced supervision.

Description of the practice:

The duties of the chief judge are so demanding that a thorough awareness and appreciation of probation operations is often impractical. Designation of a separate liaison judge to each of the various support agencies is often beneficial. Through meetings with a liaison judge, our problems, concerns, needs and successes are relayed to all judges.

Benefits:

Greater understanding of enhanced supervision leads to greater support by judges of the probation office.

Resources:

I have an hourly meeting every quarter with my liaison judge to discuss personnel, programs, workload and any other concerns.

Suggestions for implementation:

Use a preprinted agenda with a summary of your remarks to facilitate prompt and accurate transfer of information from your liaison judge to other judges.

Results/evaluation:

All unit heads in Nevada report favorably on the benefits of having a liaison judge.

Chief or contact:

David F. Sanders District of Nevada (702) 388-6094

Sentencing Judge Review of Semi-Annual Supervision Plans

Issue, problem, challenge being addressed:

Need to involve the court in the supervision process and inform the judge of the officers' efforts with offenders on supervision.

Objective:

- To connect the sentencing court to the supervision process.
- To meet the statutory requirements of 18 U.S.C. § 3603 which requires a probation officer to keep the court informed about the conduct and condition of persons under supervision.

Description of the practice:

After a semi-annual review is completed by the officer, and reviewed and signed by the SUSPO, it is forwarded to the sentencing court for review and comment.

Benefits:

- The probation officer's statutory responsibility is met.
- The lines of communication between the sentencing court and the probation officer are kept open.
- The court is apprised of an offender's response to supervision and compliance with any special conditions.
- The practice promotes judicial confidence in supervision. Often the judge will write a note in the margin indicating that he or she is pleased with the offender's progress or would like a report and review hearing if the offender's supervision adjustment deteriorates.
- The practice reminds the court that in addition to their responsibility to write presentence investigation reports, officers have an equally demanding and responsible role supervising offenders in the community.

Resources:

There are no additional resource commitments. The semi-annual supervision plan process was already in place. The practice now includes the judge in the process.

Suggestions for implementation:

Many judges are already inundated with paperwork and have little time to review semi-annual plans. However, judges new to the bench are often more receptive to the practice. One way to market the procedure is to remind judges that probation officers have the statutory responsibility at 18 U.S.C. § 3603 to keep them informed about the conduct and condition of offenders. This practice is one method to fulfill that mandate.

Results/evaluation:

There has not been a formal evaluation of this practice. Experience and comments from the court and probation officers suggest it is useful. It keeps the court connected to the probation officer's supervision responsibilities.

Chief or contact:

W. Dan Broome District of North Dakota (701) 239-5355

(A similar practice was submitted by Debra Horn, District of Nevada, (702) 388-6574. You may want to contact this district for additional information.)

Chapter III Correctional Treatment

Affixing Limits on the Quantity and Type of Contract Services Provided for Offenders

Issue, problem, challenge being addressed:

To ensure that the quantity of services provided by a contractor achieves the desired result within reasonable cost and time constraints.

Objective:

- To hold vendors accountable for the quality of services rendered.
- To achieve a parallel between service and offender improvement; for example, drug- and crime-free, and a greater achievement of personal goals.

Description of the practice:

The vendor clearly states the progress that is to be expected from the offender within the initial twelve weeks of group and individual therapy. Before the period of service can be extended, the probation officer must be told the reasons why the goals were not achieved and why the vendor believes results would be achieved with additional time and money. If the probation officer believes sufficient progress has been made toward the goals, additional periods of time will be allotted.

Benefits:

This process forces the vendor, offender, and probation officer to continually evaluate the quality and quantity of service to determine if these services are having the desired impact.

Resources:

No additional resources are required.

Suggestions for implementation:

Probation officers need to become fully aware of the drug contract delivery systems and not rely on the DAT specialist for information or explanation of the terms and conditions of the drug aftercare contract.

Results/evaluation:

More effective and efficient delivery of services to offenders with reduced or controlled cost.

Chief or contact:

Eugene Wesley, Jr. District of the District of Columbia (202) 273-0180

Effective Practices: Enhanced Supervision Federal Judicial Center • 1994

Assessment Period Activity Form

Issue, problem, challenge being addressed:

The ability of the probation officer to ensure that the initial assessment of the offender is appropriate and that all activities required, as a result of the assessment, are being completed.

Objectives:

To create an effective assessment program that is consistent throughout the office.

Description of the practice:

Officers fill out the checklist of Activities During the Assessment Period form on each offender during the initial assessment period. This form serves as a tool to ensure that all issues are being effectively addressed by the probation officer. The supervisor uses the form to confirm that specific actions have been taken.

Benefits:

Supervision objectives are clarified and issues are properly addressed. Both the officer and supervisor remain focused on the issues.

Resources:

Minimal staff time to develop and distribute the form.

Suggestions for implementation:

A copy of the form is available upon request.

Results/evaluation:

After the form has been used for a period of time, survey staff to determine its usefulness. The form can be modified in the event there are items that should be included or excluded.

Chief or contact:

S. J. Rackmill Eastern District of New York (718) 330-2642

Cognitive Skills Training for Substance Abusing Population

Issue, problem, challenge being addressed:

- In an era of fiscal constraints, we are continually asked to do more with fewer resources. As the number of offenders with identified substance abuse issues increases within our system, and the annual costs to provide these services, with inflation, also increase, the funding on a per capita basis decreases.
- There has been a proliferation of cognitive and behavioral approaches to treating offenders within the criminal justice system. Although some approaches are clearly "therapy" and necessitate the involvement of a therapist, other approaches are educational in nature and probation officers are ideally suited to provide this service.

Description of the practice:

- Selected staff are trained to teach cognitive skills to offenders. The cognitive skills include the management of emotions, problem solving and critical reasoning. The basic premise of this approach is that situations do not, in and of themselves, cause us to feel or act in a particular way. Rather, it is our interpretations of these situations that cause us to react in a particular way.
- Approximately eight offenders are randomly assigned to the cognitive track to participate in forty two-hour group sessions. Because we are presently confining these groups to our substance abusing population, additional modules have been added that focus on relapse prevention. Group members meet weekly, submit urine tests on the same basis as the drug-free track, and are eligible for other non-treatment services that a contractor may be able to provide.

Benefits:

- When compared to the costs of group counseling sessions, the savings for this program are considerable. The projected savings should allow us to provide a greater range of services such as job training and placement, clean and sober living, etc. Additionally, the cost of the training was recouped in short order.
- Involvement in this type of program allows us to upgrade the skill level of our staff. Additionally, it provides our staff with continuity in how they approach supervision.
- The research conducted to date is more impressive on the decrease of relapse and recidivism for those persons completing intensive cognitive training.

Resources:

Several cognitive programs are in existence. We selected the Canadian program, *Reasoning and Rehabilitation*, although many fine programs exist

and are being refined, while still other programs are in the developmental stage. Some programs were developed in the public sector and are therefore available at no charge. The program that we selected is a series of well-scripted modules that are enjoyable to present and maximize group participation.

Suggestions for implementation:

- A knowledge of as wide a cross section of cognitive programs as possible will enable a district to select a program that is suited to its needs. The National Academy of Corrections in Longmont, Colorado, has a 32-hour course that comprehensively covers these programs. Networking with offices that have already done a market survey is also recommended.
- Staff support is essential and some initial resistance can be anticipated. It is vital to engage as many staff as possible in the selection process. When staff speak with others that are currently running groups, their support is almost assured.

Results/evaluation:

- This program is currently being evaluated by a grant from the National Institute of Justice and is a collaborative effort between this district, the National Council of Crime and Delinquency, and U.C.L.A. Results will be publicized periodically in *News and Views*.
- Four groups are running at present. Initial results are promising based on the comments of the group facilitators and based on the fact that there has not been a failure in any of the groups.

Chief or contact:

Loren A. N. Buddress Northern District of California (415) 556-0202

Consultation with Drug Coordinator Concerning Treatment

Issue, problem, challenge being addressed:

Maximize the drug coordinator's effectiveness by assigning only those cases that require treatment services.

Objective:

To have the drug coordinator supervise only those offenders who require drug aftercare or mental health treatment.

Description of the practice:

When an offender's supervision commences with a special condition for drug or mental health treatment, the assigned probation officer discusses the case with the drug coordinator. More than likely, the offender will be subsequently instructed to participate in an assessment period with the contract program(s) until a professional decision has been made about the need for treatment services. The assigned probation officer will supervise the offender throughout the assessment period, unless there are compelling reasons for the drug coordinator to supervise the case from the outset. The probation officer will continue to supervise the offender if services are not required, but will transfer the case to the drug coordinator if treatment is needed.

Benefits:

- Drug coordinator and probation officers discuss the needs of offenders and joint decisions are frequently made.
- Drug coordinator remains focused on offenders who require his or her services.
- Drug coordinator can attend to other related matters without unnecessary interruptions.
- Probation officers are directly involved in the process and learn about treatment, the issues associated with supervising these offenders, and dealing with contract programs.

Resources:

Investment of time by the entire staff.

Suggestions for implementation:

Convincing probation officers that the drug coordinator can be utilized to his or her fullest potential by alleviating his or her unnecessary involvement in drug or mental health cases.

Results/evaluation:

The drug coordinator is much more focused on areas of his or her work that require constant interaction, such as supervising offenders in need, and monitoring contract programs.

Chief or contact:

Donald J. Blackburn District of Rhode Island (401) 273-0427

(A similar practice was also submitted by Chris Stanton, Southern District of New York, (212) 791-0088. You may want to contact this district for additional information.)

Copayment of Substance Abuse Treatment and Mental Health Invoices

Issue, problem, challenge being addressed:

We must attempt to stretch our treatment dollar by encouraging offenders or other providers to share the cost of treatment.

Objective:

By being more conscious of treatment costs and sources of payment—including the offender—we can hopefully service a greater number of offenders.

Description of the practice:

Probation officers have been trained to investigate the federal offender's ability to pay for all or part of the treatment. The officer then explores other potential sources of payment, including public aid, the Illinois Department of Alcohol and Substance Abuse, and Medicaid.

Benefits:

Offenders have an "ownership" in their treatment program when they pay for all or part of the costs. Treatment dollars can accommodate a greater number of offenders.

Resources:

Our treatment resources include federal probation treatment moneys, state resources (DASA), the offender, and Medicaid.

Suggestions for implementation:

Probation officers receive annual training from the substance abuse specialist on how to investigate alternative funding resources.

Results/evaluation:

The efforts of probation officers in implementing our copayment policy and conserving treatment monies are readily apparent when reviewing the invoices from contract agencies.

Chief or contact:

David J. Nebergall Central District of Illinois (217) 431-4810

Delivery of Treatment Services in Rural Areas

Issue, problem, challenge being addressed:

Outreach activities by contract vendors for offenders who would otherwise be inaccessible.

Objective:

To ensure offender compliance and monitoring by supervising officer.

Description of the practice:

The contract provider for out patient services in the largest catchment area of the district travels to the satellite office and two other locations every week to meet with offenders. A similar arrangement is being negotiated with another vendor to cover a separate area.

Benefits:

Offenders, especially indigent individuals, receive required counseling and other needed services.

Resources:

Travel expenses paid per contract to vendor. Space, supplies, and some UA collections provided by U.S. probation office.

Suggestions for implementation:

Advise the vendor at the outset of the contract that such outreach activities are necessary for certain categories of offenders.

Results/evaluation:

Offenders are receiving the required services.

Chief or contact:

John Dowden Eastern District of Oklahoma (918) 687-2366

Drug Aftercare and Mental Health Offender Copayment Plan for Contract Vendors and Urinalysis Fees

Issue, problem, challenge being addressed:

BOC 2526: To supplement allotments from the AO while providing a more comprehensive drug aftercare treatment program.

Objective:

To reduce the costs to the government and taxpayers while providing maximum therapy and counseling to all offenders with drug aftercare conditions and needs.

Description of the practice:

After subtracting any payments for fines, restitution and verified child support, each participant submits a minimum 3% of his net income towards DAC contract services. A standard urinalysis fee from all offenders with a UA condition is also collected.

Benefits:

- Additional funds credited to BOC 2526.
- Increase in offender responsibility.

Resources:

Personnel time.

Suggestions for implementation:

- Convince judges to consistently order co-payment.
- Collect funds consistently.
- Coordinate collection and crediting of funds with the clerk of the court.

Results/evaluation:

Amount of funds credited back to BOC 2526.

Chief or contact:

Thomas G. Ogden District of Utah (801) 524-5176, extension 3573

Drug Aftercare Program Specialists Team

Issue, problem, challenge being addressed:

Drug contracting, particularly in a large or geographically diverse district, can become a complex management issue. Procedures must be carefully followed, funding accounted for and programs reviewed on a regular basis.

Objective:

- To maintain consistent district-wide drug aftercare contracting procedures.
- To properly resolve vendor-related problems.

Description of the practice:

The drug aftercare program specialists are assigned contracts in various parts of the district (within a reasonable geographical area). Specialists are responsible for solicitations, audits and billing activities in their area, but cross-audit and assist DAPS in adjacent areas. The DAPS team meets periodically to discuss problem issues and undergo training.

Benefits:

The drug aftercare program specialists have an investment in district policy and budget matters. They respond favorably to increased responsibility. By breaking down a large and complex program into smaller components, each vendor receives more attention. By meeting frequently with other DAPS officers, policies and procedures remain consistent throughout the district.

Resources:

A sufficient number of grade 13 positions must be allocated to the drug units to allow coverage of contracts and drug caseloads. Committee meetings should be held two or three times a year. The meetings, which can be limited to half-day sessions, will usually require additional travel expense and time away from the job.

Suggestions for implementation:

Certified drug and alcohol counselors, licensed professional counselors and officers with related certifications who have completed training in the chemical abuse field are prime candidates for grade 13 specialist positions and the additional contracting responsibility. The key component for success of this practice is to standardize procedures through training and frequent communication.

Results/evaluation:

This program seems to be working well. It has effectively spread out responsibility for the overall drug contracting program and has resulted in a more easily managed network of specialists.

Chief or contact:

Don Hardaway and Thom Densmore Northern District of Texas (214) 767-3010

Drug and Alcohol Aftercare Education Group

Issue, problem, challenge being addressed:

Provide a transition from treatment to the AA/NA support groups in the community and ensure that each offender develops a relationship with a sponsor.

Objective:

To provide an "in house" substance abuse education program, monitored by the U.S. probation officer.

Description of the practice:

Offenders are referred to "Bridge Tenders," a twelve-week substance abuse education program. Attendance is monitored and offenders must attend all twelve sessions to complete the program. Our volunteer facilitators often come from the AA/NA community. They also provide assistance with referral to support groups following completion of the program.

Benefits:

We have made valuable contacts within the treatment community and have been able to monitor each offender's progress well beyond the treatment program. Facilitators are sometimes former offenders who are well established in a recovery program. Offenders often feel more comfortable with these individuals and communicate freely with them. We have seen some limited success with offenders who have not responded to more clinical treatment programs.

Resources:

We are fortunate to have access to a building rented by a local civic organization. We are able to rent this space from the civic organization for \$50 per year and are allowed access for two hours per week. As mentioned above, facilitators are volunteers, mostly from the AA/NA community.

Suggestions for implementation:

Locate a meeting space for the group. Recruit and retain volunteer facilitators.

Results/evaluation:

An evaluation of the success of the program is subjective. However, this program allows us to monitor and ensure the offender's participation in a twelve-step program.

Chief or contact:

Dan K. Martin Eastern District of North Carolina (919) 856-4457

(A similar practice was submitted by Henry N. Milburn, District of Maine, (207) 780-3358. You may want to contact this district for additional information.)

Establishing Critical Success Factors for Supervision of Drug Dependent Offenders

Issue, problem, challenge being addressed:

Assessing the effectiveness of supervision practices on drug dependent offenders.

Objective:

Establish measurable critical success factors that determine the continuous improvement of drug dependent offenders under supervision.

Description of the practice:

All probation officers and management staff involved in the supervision of drug dependent offenders meet to determine which critical success factors they will use to determine the success of their supervision efforts.

The success factors used in our district include:

- Decrease in positives.
- Increase in completing treatment.
- Increase in favorable terminations.
- Increase in employment.
- Increase in sanctions with corresponding decrease-or no increase-in violations.

Success factors with mitigating variables are:

- Decrease in new crimes.
- Improved stable home environment (e.g., decrease in domestic abuse or unfavorable reports from spouse).

These success factors apply to any offender with a special condition for testing or treatment for substance abuse.

Benefits:

Critical success factors provide a clear and measurable means to determine the effectiveness of supervision practices and special programs. They also provide a focus for supervision activities.

Resources:

A computerized database of caseload information, including the variables identified by the critical success factors.

Suggestions for implementation:

The critical success factors were determined by the drug specialists and SUSPOs whose officers supervise drug dependent offenders. Quarterly reports on the critical success factors are to be used to assess improvement in the district rather than individual officer performance evaluations.

Results/evaluation:

Reviewing the critical success factor reports for several quarters will provide a perspective on the continuous improvement of supervision practices and policies in the district.

Chief or contact:

Thomas J. McGlynn Western District of New York (716) 846-4142

Increased Use of Community-Based Twelve-Step Programs

Issue, problem, challenge being addressed:

Drug and alcohol aftercare for offenders.

Objective:

Enhance the effectiveness of aftercare programs and reduce costs by using free and proven community programs such as AA/NA/CA.

Description of the practice:

When appropriate, USPOs are encouraged to begin the offender's treatment plan with referrals to twelve-step programs, rather than to more expensive individual counseling . Assessment and individual counseling are still options at the officer's discretion.

Benefits:

Numerous studies point to the efficacy of twelve-step programs. A major advantage is that the offender can continue in the program and receive the support of the group to help avoid relapse after supervision ends. Twelve-step programs are available all over the world.

Resources:

Personnel time.

Suggestions for implementation:

Establish procedures, rather than policies, that will enable USPOs to use their professional judgment in selecting the appropriate program for the offender.. Begin Phase I testing with a referral to a twelve-step program. When appropriate, refer offenders who have relapsed to a twelve-step program rather than to the more expensive individual counseling.

Results/evaluation:

A study in our district suggested that counseling with testing only had about a 50/50 success rate. These results have been supported by other studies. To maximize the benefits of the funds available to us for treatment, we are dealing with increased referrals and decreased funds through use of twelve-step programs.

Chief or contact:

William A. Barrett Eastern District of California (209) 487-5822

Ongoing Evaluation of the Effectiveness of Substance Abuse Treatment Programs

Issue, problem, challenge being addressed:

What are we getting for our treatment dollar?

Objective:

To measure the effectiveness of our substance abuse treatment programs.

Description of the practice:

To measure the impact of expenditures on substance abuse treatment, define the criteria for successful, unsuccessful, and administrative discharges from treatment. Combine this practice with an exit interview of offenders to determine if treatment was goal oriented, issue related, and beneficial.

Benefits:

As correctional treatment administrators, we need to know the results of our major investments in treatment programs. Treatment providers will provide better service if they know that we will evaluate treatment outcomes.

Resources:

The drug treatment specialist may coordinate the research with assistance from treatment personnel.

Suggestions for implementation:

This is an excellent opportunity for a volunteer (for example, a graduate student) to make a meaningful contribution to the probation office.

Results/evaluation

Nevada has just begun this practice. We expect that the conclusions will guide future program decisions.

Chief or contact:

Michael Severance District of Nevada (702) 388-6093

Private Insurance Coverage for Drug Aftercare and Mental Health Treatment

Issue, problem, challenge being addressed:

Limited funds for treatment.

Objective:

Reduce costs of drug aftercare and mental health treatment while still ensuring that offenders receive needed services.

Description of the practice:

At the presentence stage, USPOs determine if the offender has private insurance for counseling or drug education. If it is not available at that time, the officer monitors the case for a change of insurance coverage offered through a new job or through the spouse's employer.

Benefits:

Allows the USPO the option of other high-quality programs. More money is available in the drug and mental health budget to serve offenders who are not insured.

Resources:

Personnel time.

Suggestions for implementation:

Train PSR writers and supervision officers to ask the offender about insurance, then check out the program offered. SUSPOs can watch case plans for evidence of outside coverage.

Results/evaluation:

Less money spent from drug and mental health aftercare budgets.

Chief or contact:

William A. Barrett Eastern District of California (209) 487-5822

Rotating Audits of Drug Aftercare Contractors

Issue, problem, challenge being addressed:

Millions of dollars are spent through drug aftercare contracts. Audits are required, but unless the auditors are extremely knowledgeable of both procedures and regulations, problems can be easily overlooked.

Objective:

To ensure that drug aftercare funds are appropriately spent and that the programs meet contract standards.

Description of the practice:

The drug aftercare program specialists are trained in audit procedures and regulations. Specialists rotate assignments so that a different specialist audits the contracts once a year.

Benefits:

Each officer involved in the auditing process is able to review the contract agency with a somewhat different perspective. By using a variety of auditors, the likelihood of uncovering problem areas and practices is increased.

Resources:

Drug aftercare program specialists must be trained and have sufficiently small caseloads to allow time for auditing and other contract-related duties. Travel expenses will be incurred depending on the distance involved.

Suggestions for implementation:

DAPS auditors must become knowledgeable of contracting procedures and each contract's strengths and weaknesses. They must also have support of the chief and share a similar treatment philosophy.

Results/evaluation:

This practice has enabled us to provide a more in-depth audit process. It encourages weak programs to improve and allows better control of expenditures and treatment programs.

Chief or contact:

Don Hardaway and Thom Densmore Northern District of Texas (214) 767-3010

Use of Title 19, Medicare, Provisions for In-patient Treatment of Substance Abuse

Issue, problem, challenge being addressed:

Treatment service monies are limited and alternative funding sources are needed to multiply limited treatment dollars.

Objective:

Develop an alternative method to pay for in-patient substance abuse services.

Description of the practice:

In this district, many offenders are Native Americans on AFDC who qualify for Title 19 Medicare Assistance. If they experience substance abuse problems requiring in-patient treatment, we can make arrangements with their county social worker and the business office of the treatment provider to use Title 19 funds as the primary funding source for treatment services. The district's DATS contract moneys are used for secondary funding.

Benefits:

Conserves BOC 2526 money and ensures that needed substance abuse treatment services are provided to offenders.

Resources:

Personnel time to coordinate with county social services and the treatment provider for payment under Title 19. Coordination can usually be done by telephone or a short office visit.

Suggestions for implementation:

Screen DATS cases to determine whether they are eligible for Title 19 services.

Results/evaluation:

Use of Title 19 funds, when appropriate, saves DATS contract monies.

Chief or contact:

W. Dan Broome District of North Dakota (701) 239-5355

Chapter IV Electronic Monitoring

Electronic Monitoring Selection Investigation Checklist Modified

Issue, problem, challenge being addressed:

AO form PROB 69 does not adequately address the many factors that should be considered to determine if an individual is an appropriate candidate for electronic monitoring.

Objective:

To determine an offender's appropriateness for electronic monitoring prior to making such a recommendation.

Description of the practice:

At the time of preparing a recommendation to the court for sentence (initial, upon modification, or violation), when electronic monitoring is permitted by law or the guidelines, the officer completes the Middle District of Florida 69 form. The officer, bar, and court are then aware of any potential obstacles for imposition of such a condition of the sentence. A copy of the form is available upon request.

Benefits:

Inappropriate offenders are weeded out prior to implementation of the sentence. Offenders and their attorneys become aware of the requisites for electronic monitoring.

Resources:

Completion of the form takes only a few minutes and can save hours of court, bar, and officer time by ensuring that inappropriate offenders are not sentenced with a condition for monitoring.

Suggestions for implementation:

Form filled out prior to sentence, modification or revocation and reviewed by EM specialist for appropriateness.

Results/evaluation:

Only appropriate offenders are sentenced to EM.

Chief or contact:

Barry J. Weiner Middle District of Florida (813) 228-2901, Ext. 147

Home Confinement With Electronic Monitoring

Issue, problem, challenge being addressed:

Constant and effective supervision of offenders in the community.

Objective:

To use a means of supervising selected offenders in the community rather than detaining them.

Description of the practice:

Electronic monitoring is an active system of surveillance involving a continuous signal from a transmitter to a receiver. It tracks key events such as absences, late arrivals, mechanical failures, tampering, location and verification failure, and missed calls for persons in a home confinement program.

Benefits:

The use of this technology allows probation officers to focus their time and efforts in areas other than surveillance.

Resources:

Electronic monitoring is funded by the AO.

Suggestions for implementation:

This program is coordinated by two officers in our district.

Results/evaluation:

The electronic monitoring program has been a success in the District of Kansas thus far. It has allowed numerous selected offenders to remain in the community, under strict supervision, who would have been detained under previous circumstances. It has been used in the pretrial as well as post-conviction areas. It has been a useful supervision tool.

Chief or contact:

Leonard J. Bronec District of Kansas (913) 551-6717

Requiring Offenders to Self-Pay for EMS

Issue, problem, challenge being addressed:

BOC 2536: To supplement allotment from the AO while providing additional resources.

Objective:

- To reduce costs to taxpayers.
- To obtain additional resources for alternative sentences by the court.

Description of the practice:

In the PSR, the USPO recommends the following method of payment for EMS: "Which is to be paid in 30-day installments to begin prior to entry into the EMS program. Failure to pay the costs of EMS is considered a violation of probation or supervised release."

Benefits:

Over 50% of the cases ordered into EMS have been self-pay cases. Thus far, we have had a 100% collection rate in over fifty cases.

Resources:

EMS program coordinator's time to monitor payments once each month. A LotusTM spreadsheet handles the cost calculations.

Suggestions for implementation:

- Convince judges that EMS is cheaper and more punishment-oriented than placement in a community corrections center.
- Agree on billing credits with B.I. monitoring.
- Convince the USPO, that if structured appropriately, an EMS program does not have to be labor-intensive .

Results/evaluation:

Dramatic increase in EMS use and reduction in CCC placements resulting in a tremendous savings by the BOP.

Chief or contact:

Frank D. Hall, Jr. Southern District of Indiana (317) 226-5151

Chapter V Ensuring Compliance with Court Ordered Sanctions

Applying Federal and State Tax Refunds Toward Fines and Restitution

Issue, problem, challenge being addressed:

Collection of monies owed for fines and restitution.

Objective:

To ensure that monies are paid during an offender's supervision term.

Description of practice:

During November of each year, a form letter is sent to those offenders who owe restitution or fine payments. The letter specifically directs an offender to supply a copy of his or her federal and state tax returns for that year to the probation officer. The letter also encourages or specifically directs the offender to apply any tax refund to monies owed.

Benefits:

Conditions are met.

Resources:

The officer sends the letter and follows up with the offender with verbal instructions.

Suggestions for implementation:

A specific form letter should be drafted and used by all officers within the district when directing an offender to apply a tax refund to payment of fines and restitution. A payment agreement form should be signed at the onset of supervision that includes the following: "You are directed to apply your federal and state tax refunds to your restitution and fine payment." Problems may arise when dealing with an offender who files jointly with a spouse.

Results/evaluation:

I have used this procedure with many of my offenders and the majority have complied with such instructions. The main objective is to get the fine and restitution paid in full as soon as possible.

Chief or contact:

John S. Hession Central District of Illinois (309) 671-7031

Collection of Fines and Restitution

Issue, problem, challenge being addressed:

How to deal more effectively with problematic fine and restitution payments, especially for amounts in excess of \$2,000.

Objective:

100% compliance with fine and restitution conditions.

Description of the practice:

Develop a specialized caseload(s) of the office's most problematic fine and restitution cases, not to exceed 45 cases, per caseload in any given month. Assign an officer, preferably a volunteer, who is specially trained in financial investigations, intensive supervision and applied graduated sanctions, to handle that caseload.

Benefits:

Eliminates or radically reduces costly revocation of probation hearings or civil prosecution by the U.S. attorney's office, that result from attempts to collect outstanding balances of fines and restitution. Intensified collection efforts will promote respect for the law, provide just punishment and afford more deterrence. Effective use of personnel.

Resources:

Existing personnel.

Suggestions for implementation:

Solicit qualified volunteers from existing staff.

Results/evaluation:

Intensified, focused supervision on fine and restitution collection can be objectively evaluated. There would be a measurable increase in fine and restitution collections.

Chief or contact:

Paul A. Cavazos and Louis G. Brewster Southern District of Texas (210) 682-4302, Ext. 237

Debtor Exam

Issue, problem, challenge being addressed:

This practice is utilized to determine if the offender has assets to pay any monetary obligation ordered by the court.

Objective:

The anticipated outcome is that the offender will pay the monetary obligation.

Description of the practice:

This procedure must be coordinated with the U.S. attorney's office, Financial Litigation Unit. The offender is summoned in and there is a joint meeting with the offender, assistant U.S. attorney, and the U.S. probation officer. The offender declares his liabilities and assets. If he is reluctant or refuses to provide information, the U.S. magistrate judge can be utilized to order disclosure. If the offender has assets, a strategy is developed to pay the monetary obligation. A major part of this strategy may be liquidation of existing assets.

Benefits:

The court-ordered monetary obligation is met without further court time being utilized or a violation of supervision.

Resources:

Cooperation with the U.S. attorney's office, Financial Litigation Unit, and personnel time.

Suggestions for implementation:

Staff with the supervisor and contact the U.S. attorney's office, Financial Litigation Unit.

Results/evaluation:

This practice can be used both as an investigative tool and motivation for the offender to meet the monetary obligation.

Chief or contact:

Phyllis J. Nelson Central District of Illinois (217) 492-4215

"Finders"—a Commercial Credit Report Inquiry Service

Issue, problem, challenge being addressed:

Location of absconders and violators.

Objective:

Find the missing violator.

Description of the practice:

"Finders" is a credit report inquiry service available through Equifax on our local terminal. A release from the offender is not required. Inquiries have been successful in locating long-time absconders.

Benefits:

Violators are arrested and brought before the court.

Resources:

The reports cost \$1.25 each.

Suggestions for implementation:

Our Data Quality Analysts have volunteered to maintain inactive cases and to run semi-annual "Finders" reports.

Results/evaluation:

Violators have been located who would not have been otherwise.

Chief or contact:

Patsy Ortiz District of Nevada (702) 388-6335

Five-Point Financial Investigation

Issue, problem, challenge being addressed:

Assessment of ability to pay.

Objective:

To conduct a basic financial investigation on every offender not in compliance with a payment schedule.

Description of the practice:

The basic investigation involves the following five points: (1) preparation and review of a financial statement; (2) review and assessment of tax returns; (3) review of checking and savings records; (4) review of a credit report; and (5) a thorough home inspection.

Benefits:

The five-point investigation will ensure that all offenders with delinquent obligations will undergo a basic financial investigation. The basic investigation will often lead to other areas of inquiry.

Resources:

The basic investigation is not time-consuming and can be done during the course of routine supervision.

Suggestions for implementation:

Work in teams, as the financial investigation is somewhat intrusive and may be threatening to the offender.

Results/evaluation:

The five-point financial investigation is quick and inexpensive and can generate valuable leads for further investigation. Generally, the practice leads to increased collections.

Chief or contact:

Elizabeth Cummings District of Nevada (702) 388-6484

Monthly Print-Outs on Court Obligation Balances

Issue, problem, challenge being addressed:

Officers had to call U.S. attorney's office each month to determine accurate balances of court obligations.

Objective:

Monthly print-outs of officer caseloads and offenders' balances and payments.

Description of practice:

After a number of meetings with the Financial Litigation Unit (FLU) of the U.S. attorney's office, it was agreed they would provide a monthly print-out of each officer's caseload that would contain all offender's information, most recent payments and balances of their court obligations.

Benefits:

Supervisors and officers can review the print-outs to check enforcement efforts and offender's compliance. It serves as a monthly reminder of court obligations owed and can be given to the offender to determine if the balance conforms with the amount he or she believes is owed. Case reviews are also made easier with a running account of offender's payments. The need to increase payment schedules or extend supervision becomes readily apparent.

Resources:

Primarily, the resource is staff in the FLU of the U.S. attorney's office and their willingness to manipulate their computer program to supply this print-out.

Suggestions for implementation:

The chief should meet with the U.S. attorney and the FLU and include this agreement in their Memorandum of Understanding. Representatives from our FLU are also invited to our staff meetings semi-annually to present reports on payments and suggest or help to brainstorm other ideas.

Results/evaluation:

Increases collection and monitoring of court obligations. Monthly reminders make officers and offenders more accountable.

Chief or contact:

Trudi A. Schmitt Eastern District of Wisconsin (414) 297-1425

Payroll Deduction for Fine and Restitution Payment

Issue, problem, challenge being addressed:

Ensuring offender compliance with fine and restitution payment plans requires officers to expend considerable time and effort.

Objective:

Timely and comprehensive offender compliance with fine and restitution payment requirements.

Description of the practice:

A district form was developed for the officer to give to the offender when a payment plan is established. If they have regular employment, the offender takes this form to the employer to set up a payroll allotment to be sent directly to the clerk or U.S. attorney. In some cases, the offender can be ordered by the court to participate in this plan. A copy of the form we use is available upon request.

Benefits:

This program provides a means for payments to be taken off the top of the offender's income, before it can be spent on something else. It also ensures routine, timely payment.

Resources:

No additional resources (other than forms) are required.

Suggestions for implementation:

The allotment form should be presented routinely with the payment plan when the case is first set up. The offender should be told that this is an acceptable and customary method of payment. Advance coordination of this program should be done with the clerk and U.S. attorney. Not all employers provide a means for payroll deduction. The employer must include the docket number with each payment.

Results/evaluation:

The use of this plan can decrease "game playing" by certain offenders and provide better payment compliance.

Chief or contact:

Dick Westman Western District of Washington (206) 553-7435

Restitution and Fine Agreement

Issue, problem, challenge being addressed:

Payment of restitution and fine.

Objective:

To improve follow-through with payments and to notify the U.S. attorney's office of agreements.

Description of the practice:

Each offender executes an agreement to pay a specific monthly amount toward the fine and restitution. A copy of the agreement is forwarded to the U.S. attorney's office and the clerk's office.

Benefits:

The agreement holds the offender accountable for agreed upon monthly payments and if necessary, can be used to bolster allegations of a petition that alleges willful nonpayment. Also, the U.S. attorney's office is made aware of the offender's stated intentions of payments of court-imposed sanctions.

Resources:

The U.S. probation officer will need to execute the agreement and enforce it.

Suggestions for implementation:

It is important to remember to distribute copies of the agreement to the U.S. attorney's office and the U.S. clerk's office.

Results/evaluations:

The practice works. Our office has seen an increase in offenders following through with payments.

Chief or contact:

Phyllis J. Nelson Central District of Illinois (217) 492-4215

Chapter VI Field Work

Clerical Staff Record Checking Program

Issue, problem, challenge being addressed:

With automation, traditional clerical workloads have changed and officers find they have less and less time for supervision.

Objective:

To enhance clerical duties and free the officers' time to devote to quality supervision.

Description of the practice:

In this voluntary program, clerks are trained and designated certain days each week to travel to various agencies to pick up records requested by officers.

Benefits:

Gives clerks a break in their day-to-day routine and allows the officers more time to devote to quality supervision.

Resources:

Approximately four hours per week for each clerk in the program.

Suggestions for implementation:

Clerks must have proper credentials and other agencies should be informed of the program to prevent misunderstandings. To prevent delays, arrangements can be made to call in requests and have records pulled in advance of the clerk's arrival.

Results/evaluation:

Clerks view this experience as a break in their routine. Officers endorse the program because it saves time. By taking this one step further, a well-trained clerk can learn to decipher the reports and present the information for an officer's review.

Chief or contact:

Don Hardaway and Bob Wetherholt Northern District of Texas (214) 767-3010

Collateral Networking

Issue, problem, challenge being addressed:

Awareness of offender conduct.

Objective:

To know five people who know your offender.

Description of the practice:

Get to know five people who know your offender. Choose five from sibling, parent, employer, best friend, neighbor, landlord, drug counselor, job developer, bartender, welfare worker, doctor, lawyer, AA sponsor, area police officer, roommate, etc.

Benefits:

Collateral sources will validate your impression of the offender's adjustment to supervision. Collateral sources will alert you if the offender's condition begins to deteriorate.

Resources:

Additional field time is required to cultivate collateral sources.

Suggestions for implementation:

Consider your caseload as an opportunity to develop 250 contacts rather than 50. Field work will become less routine and more productive.

Results/evaluation:

If you develop the contacts, you will be able to prove for yourself that this practice works.

Chief or contact:

Kevin Lowry District of Nevada (702) 388-6471

Digital-Pager System

Issue, problem, challenge being addressed:

Officer safety.

Objective:

Supervisors are assured that officers have safely ended their tour of duty on days when they are on Alternative Work Schedules (AWS) or afterhour assignments.

Description of the practice:

The supervisor of the supervision unit is assigned a digital-pager. A 3-digit ID code is assigned to each supervision officer. Each officer has access to a preselected group of law enforcement 10-codes (e.g., 10-41, beginning tour of duty; 10-42, ending tour of duty). The officer calls the digital pager telephone number, receives a signal to input message and then provides the officer ID code and the appropriate 10-code for the desired message. The supervisor receives the message in the format of a 7-digit code, e.g., 003-1042, which means officer #003 is 1042, has ended his or her tour of duty safely. The digital-pager also provides the time when the message arrived.

Benefits:

Provides information to the supervisor that officers working. An AWS or after-hours duty are safe or have ended, begun, or will be late, for their official duties. The pager also allows the supervisor to be contacted at any time.

Resources:

Cost of the digital-pager.

Suggestions for implementation:

For more detailed information on the implementation of the digital pager system, contact Chief Probation Officer William W. Wynne, Jr. in the Southern District of Alabama.

Results/evaluation:

The Digital Pager System is an excellent notification program, whereby officers working outside the normal 8:00 to-5:00 workday can check in with a supervisor to advise that "all is well" or relay other message.

Chief or contact:

William W. Wynne, Jr. Southern District of Alabama (205) 441-6800

Field Resources

Issue, problem, challenge being addressed:

Availability of resources in the field.

Objective:

To identify and acquire resources that will facilitate enhanced supervision and ensure officer safety.

Description of the practice:

Officers are encouraged to consider their equipment and supply needs prior to conducting field work. These might include: a telephone, camera, video camera, tape recorder and tapes, "frisker" gloves, disposable handcuffs, evidence bags and seals, property receipts, beeper, capstun, firearm, ammunition, UA supplies, breathalyzer, first-aid kit, bullet-resistant vest, binoculars, program enrollment forms, release forms, monthly report forms, travel permits, community resource directories, emergency telephone numbers, and automated field book.

Benefits:

With the necessary resources at hand, officers can accomplish their tasks in the field efficiently and effectively.

Resources:

Costs are variable.

Suggestions for implementation:

Equip GSA cars with stock supplies. Encourage officers to anticipate their needs prior to going into the field.

Results/evaluation:

Supervisors and officers report frequent use of available equipment and supplies.

Chief or contact:

Pat Foy District of Nevada (702) 388-6089

Flex Time

Issue, problem, challenge being addressed:

Field supervision.

Objective:

- Assist the officer in meeting the needs of his or her caseload.
- Better use of GSA cars.

Description of the practice:

Each officer can structure their eight and one half hour day so that part of their day may be spent in the office and the remainder in the field. Flex time is within the discretion and coordination of the supervisor so that adequate office coverage is maintained.

Benefits:

Allows officers to better respond to offender's needs. Many times, home contacts cannot be accomplished during the day. Allows GSA cars to be used day and night.

Resources:

None. Better use of personnel time.

Suggestions for implementation:

Officers must leave an itinerary with the SUSPO. Beepers are useful in the event an officer needs to be called back into the office.

Results/evaluation:

Officers are more willing to work evening and early morning hours. Demonstrates management's interest in allowing the officers to exercise more autonomy over their work.

Chief or contact:

Cleatrice C. McTorry Middle District of Tennessee (615) 736-5771, ext. 137

(Similar practices were also submitted by William W. Wynne, Jr., Southern District of Alabama, (205) 441-6800; Trudi A. Schmitt, Eastern District of Wisconsin, (414) 297-1425; and Leonard J. Bronec, District of Kansas, (913) 551-6717. You may want to contact these districts for additional information.)

GSA Car Fleet Expansion and Remote Parking

Issue, problem, challenge being addressed:

Field supervision.

Objective:

Promote more effective field supervision by making cars more convenient to probation officers.

Description of the practice:

The district has converted to an all-GSA car system. There are over 40 cars in our fleet. Most cars are parked at remote locations near or at the officer's residence, thus making them readily available. Privately-owned vehicles (POV's) may be used at the officer's discretion at a substantially reduced rate of 9.5¢ per mile.

Benefits:

- Substantial cost savings to the government in POV reimbursement.
- Reduces nonproductive travel time for the officer to pick up a GSA car.

Resources:

GSA cars are available upon request. They are usually new, four-door sedans. Substantial savings over POV usage are realized when the GSA car mileage exceeds 938 miles per month.

Suggestions for implementation:

Most cars must be shared by more than one probation officer. Some repairs resulting from accidents must be paid out of probation funds. High-mileage cars may be rotated to low-mileage users.

Results/evaluation:

When GSA cars are convenient, officers prefer to use them to avoid wear and tear on their personal vehicles. Savings are demonstrable.

Chief or contact:

Jim Bishop Middle District of Florida (813) 228-2901, Ext. 163

Revised Field Sheet

Issue, problem, challenge being addressed:

Previous field sheet lacked significant case information.

Objective:

- To provide the USPO with pertinent case information for field work.
- To promote officer safety in the field.

Description of the practice:

Supervision officers maintain field books with completed field sheets for each offender on their caseload. The field book becomes a handy reference for case information while in the field or the office.

Benefits:

- Eliminates the need to carry cumbersome files in the field.
- Alerts the USPO to potential dangers in the field, including associates, gang affiliation, or the presence of potentially dangerous animals.
- Enables the supervision officer to make informed collateral contacts with the police or a neighbor, if necessary, by having a photo and other identifying information readily available.

Resources:

Personnel time.

Suggestions for implementation:

Support staff can input preliminary information on the field sheet when opening the case file. The USPO can add other information, such as a diagram of the residence and a photo, after the initial contact with the offender. Field sheets must be kept current by the assigned USPO.

Results/evaluation:

Provides a streamlined process for obtaining relevant case information that may normally be overlooked.

Chief or contact:

Loren A. N. Buddress Northern District of California (415) 556-0202

(Similar practices were also submitted by David J. Nebergall, Central District of Illinois, (217) 431-4810; Robert M. Latta, Central District of California, (213) 894-3610; Vicki G. Padgett, Middle District of Florida; (904) 232-3991, and Debra Horn and Terry Sherbondy, District of Nevada, (702) 388-6731. You may want to contact these districts for additional information.)

Use of Hi-Tech Equipment—Cellular Phones and Voice Mail—to Improve Supervision Contacts

Issue, problem, challenge being addressed:

Officers waste considerable time attempting to locate offenders in the community.

Objective:

To improve the quality and quantity of offender contact without discouraging surprise visits and surveillance.

Description of the practice:

Officers can use cellular phones and voice mail to enhance supervision activities. With these tools, the officer will more easily locate the offender, thus saving time lost in unproductive attempts at contact. Messages left on voice mail can be retrieved during the day while conducting field work and concerns can be quickly addressed.

Benefits:

Officers can save a great deal of time with cellular phones at their disposal. Cellular phones obviate the need for officers to locate and use public telephones. The officers do not risk the possibility of attack at outdoor phone booths. In addition, emergencies can be handled quickly and efficiently.

Resources:

The cost of cellular phones and voice mail is significant; however, time saved by the officer and the more efficient use of an officer's time far outweigh the costs involved.

Suggestions for implementation:

Compact, hand-held cellular phones are more versatile than phones installed in cars or phones that cannot be easily transported. Voice mail should have a quick and easy menu system that encourages use. Training in the most effective ways to use this equipment is very helpful.

Results/evaluation:

Efficiency has increased with the use of cellular phones and voice mail. Officers now have fewer missed contacts in the community and experience less "telephone tag" when they return to the office. Access to the equipment definitely boosts morale and is no longer considered a luxury in this district.

Chief or contact:

Don Hardaway and Thom Densmore Northern District of Texas (214) 767-3010

(Similar practices were also submitted by Walter Black, Jr., Middle District of North Carolina, (910) 333-5341; Burton Matthies, District of Nebraska, (402) 280-0070; David J. Nebergall, Central District of Illinois (217) 431-4810; William W. Wynne, Jr., Southern District of Alabama, (205) 441-6800; W. Dan Broome, District of North Dakota, (701) 239-5355; and Frank D. Hall, Jr., Southern District of Indiana, (317) 226-5151. You may want to contact these districts for additional information.)

Weekend Hours for Supervision of Offenders

Issue, problem, challenge being addressed:

Offenders' expectation that they will only see probation officers in the field during the day, Monday through Friday.

Objective:

Provide community supervision throughout the entire week, and increase the credibility of the monitoring and surveillance aspect of supervision. Supervision officers are expected to spend one eight-hour weekend day in the field per quarter.

Benefits:

- Increased officer credibility.
- Provides supervision in the field when it can be most effective in monitoring conduct.
- Increased deterrent value for community supervision.

Resources:

Officers flex their hours during the week. There is no extra personnel cost. Officers find more offenders at home during unannounced home contacts.

Suggestions for implementation:

Emphasize the enhanced supervision model. Use safe procedures (no cowboys).

Results/evaluation:

Subjective assessment that offenders are surprised and impressed to see officers in the field on weekends. More varied observation of offender conduct, including opportunities to obtain UA collections during weekend drug use.

Chief or contact:

Jack R. Verhagen Western District of Wisconsin (608) 264-5545

Chapter VII Management Support and Review

Case Audits Conducted by Senior USPO or Line Officer

Issue, problem, challenge being addressed:

Effective case auditing and the SUSPO's time limitations.

Objective:

- To improve the quality of supervision.
- To improve peer reviews.
- To increase SUSPO's time availability.

Description of the practice:

We use senior USPO, JSP 13s, and selected line officers conduct case audits under the direction of the SUSPO.

Benefits:

The senior USPO becomes more invested in the process and receives cross-training. The USPO obtains a fresh perspective on the case by a different reviewer. The SUSPO gains time to devote to training and other areas. Supervision practices are more consistent in the unit, office and district.

Resources:

Less than 10 percent of the senior probation officer's time.

Suggestions for implementation:

Care must be taken because some line officers—usually those whose work is deficient—do not like to have line staff reviewing their work.

Results/evaluation:

One way to evaluate this practice is through discussions of the method during unit meetings. Senior probation officers have advised that the practice is very beneficial to them.

Chief or contact:

David Miller Southern District of Ohio (614) 469-5580

Case Audits of Units Conducted by the Chief Deputy

Issue, problem, challenge being addressed:

Quality control of supervision practices and supervisory review.

Objective:

- Evaluate the actual state of supervision practices.
- Evaluate the performance of supervisors.

Description of the practice:

One unit is evaluated each month by the CDUSPO. Two days prior to the evaluation date, the CDUSPO selects 20 to 30 case files to review. The reviews are returned to the SUSPO with the case files. Any significant problems are discussed with the SUSPO and USPO immediately. If necessary, follow-up procedures are established. Meetings with the SUSPO and officers are held to discuss and refine the review process.

Benefits:

The process of reviewing files results in greater accountability by both officers and supervisors. It also provides a clear picture of the overall status of supervision practices which, in turn, is used to make training and policy decisions.

Resources:

CDUSPO time.

Suggestions for implementation:

- Randomly select cases that were reviewed within the past three months by the SUSPO.
- Do not allow time for the unit to prepare selected cases.
- For training purposes, report general trends and specific instances without identifying case or officer .

Results/evaluation:

Supervisors believe that the regularly scheduled audits contribute to the efficiency and quality control of our overall operation. The CDUSPO has a greater understanding of the actual state of supervision in the district and this information assists in management's decision-making process.

Chief or contact:

James M. Fox Eastern District of New York (718) 330-2646

Caseload Staffing with SUSPO

Issue, problem, challenge being addressed:

Removing the formality from the SUSPO-USPO auditing system and finding effective ways to promote sound supervision practices.

Objective:

- To reinforce the importance of supervision.
- Provide SUSPOs with more information about offenders on the officer's caseload.
- Give the USPO direction and support.

Description of practice:

Each quarter, the SUSPO schedules a two-hour conference with each officer in the unit. The USPO brings problem cases and issues for discussion and the SUSPO asks about other cases.

Benefits:

- SUSPO increases knowledge of the officer's caseload.
- USPO gets support and direction from the SUSPO.
- Importance of supervision is reinforced.
- SUSPO can share effective methods for dealing with an issue.

Resources:

One and one-half days per quarter.

Suggestions for implementation:

Have the USPO "carry" the conference by putting most of the burden on him or her to raise issues with problem cases. Otherwise, the session can turn into a "mini evaluation."

Results/evaluation:

Officers in units where these conferences are held are more effective in their supervision practices.

Chief or contact:

David E. Miller Southern District of Ohio (614) 469-5580

(Similar practices were also submitted by Trudi A. Schmitt, Eastern District of Wisconsin (414) 297-1425; Robert L. Brent, Western District of Michigan, (616) 456-2384; Barry Polsky, Eastern District of Pennsylvania, (215) 597-7959; and W. Stephen Townley, Northern District of Florida, (904) 435-8430. You may want to contact these districts for additional information.)

Court Watch

Issue, problem, challenge being addressed:

Support for officers in court.

Objective:

To provide support and guidance for officers in court through observation, assessment, guidance, and direction.

Description of the practice:

On an intermittent basis, supervisors, deputy chief, or chief accompany officers to court for sentencing, revocation actions, and other matters.

Benefits:

The presence of management in court lends support to an officer under stress. Difficult or complex issues are easier resolved. The officer's readiness and preparation may be addressed and training issues identified. The caliber of support from the assistant U.S. attorney at adversarial hearings may also be assessed. Judges have an opportunity to provide immediate feedback to mangers.

Resources:

One to five hours a week.

Suggestions for implementation:

Let the staff know you were there for support, not because you question their ability to represent the office.

Results/evaluation:

The presence of a manager in court often causes something to be said or done that would not have happened otherwise. Judges have given favorable feedback.

Chief or contact:

Stephen Ward District of Nevada (702) 388-6083

Enhanced Supervision Subcommittees

Issue, problem, challenge being addressed:

Removal of obstacles to supervision efforts.

Objective:

Solicit input from all levels of staff regarding issues impacting on supervision.

Description of the practice:

Four subcommittees were set up: line officers, supervisors, clerks, and clerical supervisors. Each subcommittee had a goal of identifying obstacles to effective supervision within the framework of their function, and to make suggestions for removing the obstacles or improving supervision practices. A forum is provided for the committees' representatives to discuss problems and suggestions identified with the CUSPO and DCUSPOs.

Benefits:

Increases levels of communication, and involves all members of the staff in policy decisions. Can help officer-clerical relationships. Raises the level of awareness of all parties as to the frustrations and problems of other staff members—SUSPOs and USPOs, USPOs and clerks, SPCs and SUSPOs, etc. Encourages staff to focus on how to do a better job.

Resources:

Subcommittee members' time away from normal duties. Minimal travel expenditures.

Suggestions for implementation:

Set clear, attainable goals with committee chairs and members. Management must be willing to listen and follow up on reasonable suggestions made by the committees' representatives or risk losing the input.

Results/evaluation:

Results are found in the reports and discussions that management has with the subcommittees. In general, results can be measured by the degree to which management agrees with and implements the recommendations.

Chief or contact:

Eric Snyder District of New Jersey (201) 645-6161

(Similar practices were also submitted by Barry J. Weiner, Middle District of Florida, (813) 228-2901, ext. 147; David Looney, District of Oregon, (503) 326-2117; and Raul A. Cavazos and Louis G. Brewster, Southern District of Texas, (210) 682-4302, ext. 237. You may want to contact these districts for additional information.)

Joint Supervision Meeting

Issue, problem, challenge being addressed:

Unifying effective supervision practices.

Objective:

Sharing of effective supervision practices and agreeing on uniformity of effective practices.

Description of the practice:

Every six months, all supervision officers meet for a two-hour meeting on various changes, improvements and problems in applying enhanced supervision practices. The agendas for the meetings are developed by the SUSPOs and DCUSPO based on recent legal changes, internal audit results, and a survey of effective practices.

Benefits:

- Reinforces the importance and significance of supervising federal offenders.
- Recognizes creative and effective practices.
- Provides a forum for dissemination and discussion of new procedures, information, and suggestions.

Resources:

A large conference room. Travel time and mileage money to a meeting site.

Suggestions for implementation:

Survey staff for agenda items. Use as a forum to recognize outstanding performance. Use the supervision officers as presenters or facilitators.

Results/evaluation:

Survey SUSPOs to determine the impact of meetings on the officer's supervision practices. The meetings also reinforce the district's commitment to continuous improvement of effective supervision practices.

Chief or contact:

Thomas McGlynn Western District of New York (716) 846-4241

(Similar practices were also submitted by Walter Black, Jr., Middle District of North Carolina, (910) 333-5341; and Charles "Butch" Hannah, Eastern District of Tennessee, (615) 752-5311. You may want to contact these districts for additional information.)

Line Supervisor "Fill In"

Issue, problem, challenge being addressed:

Facilitation of officer addressing case issues in a timely manner.

Objective:

To improve timeliness of response and attention by the officer to latebreaking supervision issues.

Description of the practice:

The team leader in the supervision unit has an agreement with all unit officers that he or she will fill in for them on non-supervision work assignments (e.g., pre-release orientations, OD duty, court coverage) when a supervision issue arises that requires prompt attention by the officer.

Benefits:

Reinforces priority of supervision and prompt attention to issues.

Resources:

Team leader's time, which will vary.

Suggestions for implementation:

Set some guidelines so "fill in" duties do not unduly interfere with the team leader's regular duties.

Results/evaluation:

- Excellent "team builder" technique.
- Frees up officer for quick response to supervision needs.

Chief or contact:

W. Stephen Townley Northern District of Florida (904) 435-8430

Self-Directed Quality Work Teams

Issue, problem, challenge being addressed:

To establish self-directed work teams using the concept of "Total Quality Management" in order for officers to work together to improve the quality of their work and handle day-to-day problems on their own.

Objective:

To empower staff to be totally responsible for their own work products.

Description of the practice:

Preliminarily, each officer on the team will develop a working knowledge of all supervision cases in the unit and keep current with ongoing chronological entries. When problems develop, each officer will staff problems with other officers on their team. Eventually, they will review and approve each others memoranda to the court and the parole commission and finally review and approve ICSPs and SASRs. The program will enable officers to learn from one another in the areas of philosophy, techniques and skills.

Benefits:

Empowers the staff to be responsible for their own work product. Staff learns more because they have a greater range of experience to draw upon. Referencing the philosophy of Total Quality Management, productivity, quality, and job satisfaction will go up, while waste reduction is reduced. In addition, the staff will learn effective communication skills and techniques for handling conflict and reaching consensus. This will also free up the SUSPO to become involved in coaching for success, encouraging initiative, reinforcing effective performance and special projects.

Resources:

Training is needed in the principles of Total Quality Management, problem solving skills, team building and running effective meetings.

Suggestions for implementation:

Training is needed first and foremost in the above areas; weekly team meetings are essential, with the SUSPO being a part of the team and acting as mediator.

Results/evaluation:

Results will be improved quality, since the team members ensure and inspect the quality at its source, and sign off on their own work.

Chief or contact:

Loren Buddress Northern District of California (415) 556-0202

(Similar practices were also submitted by Trudi Schmitt, Eastern District of Wisconsin, (414) 297-1425; and Roger C. Ahrens, Central District of Illinois, (217) 431-4810. You may want to contact these districts for additional information.)

Senior Officer Mentoring Program

Issue, problem, challenge being addressed:

New officers without significant corrections experience can be tentative and confused about how to handle circumstances that arise in field supervision.

Objective:

To provide practical, on-the-job fieldwork training for new officers.

Description of the Practice:

New officers are assigned to spend two field days each with several senior officers (JSP-13) who specialize in supervision of substance abusers, special offenders, or mental health cases. This program takes place in the first three or four months of the officer's assignment to supervision. One day is spent visiting the senior officer's cases and one day with the new officer's cases. Thereafter, officers are encouraged to "team up" whenever practical and deemed necessary.

Benefits:

New officers get practical tips in the handling of a variety of situations and offenders from experienced and skilled veterans. Team relationships are encouraged.

Resource:

The only resource needed is senior officer time.

Suggestions for implementation:

Local goals for the program should be established and communicated to staff. A meeting of senior officers with supervisors should be held to discuss these goals and "how to mentor." Supervisors should debrief new officers and discuss their experiences.

Results/evaluation:

This program has been well received by new officers and senior officer "mentors."

Chief or contact:

Dick Westman Western District of Washington (206) 553-7435

Supervision Field Office

Issue, problem, challenge being addressed:

Need to provide supervision officers with an office environment conducive to supervision, accessible to the offender population, and somewhat insulated from immediate court (investigative) pressures.

Objective:

To demonstrate administrative commitment to enhanced supervision by providing the resources and administrative support to make it successful.

Description of the practice:

Although we are a relatively small district with a total staff of 15, we concluded several years ago that specialized units were necessary to provide sufficient expertise and resources to the supervision function. Part of this process involved setting up a branch office in the geographic center of our district, at a non-court site, to demonstrate our commitment to supervision.

Benefits:

Supervision staff are somewhat insulated from court investigative pressures and are able to dedicate full time and attention to supervision. Process of setting up the branch office drew the court's administrative attention to supervision needs. The office serves as an ongoing symbol, to the court and others, of the importance we attach to the supervision function.

Resources:

Due to the growth of the office at the time, we needed to plan expansion space anyway. Consequently, there was no additional resource impact. In fact, it was easier to acquire the off-site space we needed for the supervision office than it would have been to seek space at either of our existing court sites.

Suggestions for implementation:

Chief needs to plan for support of supervision field office space and explain that need to the court.

Results/evaluation:

Constant reminder to the judges and others that supervision is an integral component of the probation office function.

Chief or contact:

James M. Dean District of Vermont (802) 773-0263

Supervisor Ride-Along

Issue, problem, challenge being addressed:

Field supervision skills and techniques vary widely from officer to officer. Some contacts are goal-oriented; some are not. Inconsistencies can reduce the effectiveness of the supervision program.

Objective:

To improve goal-oriented field supervision through one-on-one instruction and review.

Description of the practice:

The supervisor spends a day in the field with an officer under his supervision on a scheduled frequency of once each month to once each year, depending on the expertise and experience of the officer. A written report of observations is made by the supervisor.

Benefits:

The ride-along practice allows the supervisor to gain first-hand knowledge of the officer's skill level, training needs, and understanding of enhanced supervision. The supervisor will also become better informed of the officer's caseload and supervision area.

Resources:

Ten percent of supervisor's time.

Suggestions for implementation:

Supervisors should be familiar with field supervision and be aware of the over-all supervision philosophy of the district. Records should be maintained by the chief to ensure program compliance.

Results/evaluation:

Supervisor ride-alongs impress upon the staff the chief's interest in supervision. Supervision techniques are implemented on a more consistent basis and less-experienced officers benefit from the supervisor's expertise.

Chief or contact:

Don Hardaway and Russell Wilson Northern District of Texas (214) 767-3010

(Similar practices were submitted by Frank D. Hall, Jr., Southern District of Indiana, (317) 226-5151; Jerry Simpson and John Hession, Central District of Illinois, (309) 671-7031; Ellen Krause, District of Delaware, (302) 573-6179; and Vicki G. Padgett, Middle District of Florida, (904) 232-3391. You may want to contact these districts for additional information.)

SUSPO Supervision Quality Control Worksheet

Issue, problem, challenge being addressed:

The case review process focuses on different aspects of case management during development of the initial case plan, rather than at the time that the semi-annual case plan is prepared.

Objective:

- Develop two separate worksheets: one for initial case plans, the other for semi-annual plans.
- Incorporate the worksheets into the district's Enhanced Case Management (ECM) computer program.

Description of the practice:

Draft quality control worksheets were developed by the district's standing supervision committee. After input and mark-up by all district SUSPOs, the new worksheets were incorporated into district policy and the ECM program.

Benefits:

Implementation of the new worksheets would provide pertinent, focused SUSPO feedback on all case plans. The worksheets address case needs based upon the appropriate stages of supervision. Copies are available upon request from the district.

Resources:

Personnel time.

Suggestions for implementation:

Resistance to using two separate forms must be addressed. The key to acceptance is communication. The computer program and district policy must be updated.

Results/evaluation:

This practice is effective because the worksheets now address the issues at hand.

Chief or contact:

Vicki G. Padgett Middle District of Florida (904) 232-3993

Tri-District Audit of ESP Programs

Issue, problem, challenge being addressed:

Ensuring compliance with Monograph 109.

Objective:

Improvement of the supervision effort in each district.

Description of the practice:

Using a modified audit format developed by the probation division, a team of SUSPOs from one district audits the ESP programs in another district.

Benefits:

Identifies specific problems and suggests solutions. Better uniformity of supervising projects. Learn more effective practices from other districts.

Resources:

SUSPOs time and minimal travel expenditures.

Suggestions for implementation:

Advance notice to staff in the district to be reviewed to alleviate anxiety.

Results/evaluation:

Scoring on the audit form. Past practice has shown that the idea has merit.

Chief or contact:

Jerry Williford Northern District of Georgia (404) 331-4573

(The FJC publication, A Management Guide to Assessing Local Application of Enhanced Supervision, will be sent to all districts in December, 1994. This publication will assist all districts in designing and conducting self assessments.)

Use of Senior Officers, Team Leaders, or Specialists to Supervise USPOs in Supervision Units

Issue, problem, challenge being addressed:

Management review of supervision cases.

Objective:

- Relieve the SUSPO of primary responsibility for the management and review of supervision cases.
- Reduce the volume of cases for which any one individual is responsible and thus allow each senior officer, team leader or specialist sufficient time and energy to: (1) conduct quality case reviews, and (2) provide meaningful feedback.

Description of the practice:

Selected senior officers, team leaders or specialists have been assigned primary responsibility for overseeing the work of all supervision unit officers in their division. Each unit is comprised of three officers who specialize in supervision. Each officer is assigned approximately 65 cases. The team leader or specialist also supervises a small caseload of 10 to 12 cases. The team leader or specialist is responsible for the management and review of approximately 200 supervision cases.

Benefits:

SUSPOs are relieved of the responsibility of directly overseeing supervision cases and can devote more time and effort to managing their divisions. Since senior officers, team leaders or specialists have smaller supervision units to oversee, they can provide a more thorough and timely review and feedback to their supervision officers. This practice emphasizes the district's commitment to quality supervision services.

Resources:

The district must qualify for senior probation positions and then select qualified officers to fill them. Reorganization of staff and respective responsibilities will also be necessary.

Suggestions for implementation:

Solicit input from the management team. Emphasize that the benefits of delegating responsibility to mid-level managers include: smaller units, fewer cases to oversee, better quality control due to thorough and timely case reviews, and staff development. Feedback from staff is essential.

Results/evaluation:

Creating these mid-level management positions has broadened our management base, increased staff participation, and enhanced staff development. It has allowed SUSPOs time to better manage their divisions, while giving senior officers, team leaders or specialists the opportunity to improve the quality of our supervision services.

Chief or contact:

Roger C. Ahrens Central District of Illinois (217) 431-4810

Chapter VIII Managing Non-Compliance

Assign Probation Officers to CSC

Issues, problems, challenges being addressed:

- The need for a credible sanction between community supervision and imprisonment.
- The need to provide relief to probation officers who have exhausted themselves working with "resource burners."

Objective:

To provide the court and parole commission with a credible sanction.

Description of the practice:

The BOP Comprehensive Sanctions Center, an intensive CCC, was piloted in the Northern District of Ohio. The probation office assigned two probation officers to the program. Offenders at the CSC, both prerelease cases and supervision cases, are assigned to these two probation officers. The probation officers maintain offices at the CSC. The probation office installed a phone extension at the CSC.

Benefits:

Probation officers can recommend modification of conditions to include CSC placement, or revocation with CSC placement instead of imprisonment. Officers still receive the benefit of "getting rid of the case." The probation office has greater control over the residential program. There has been a reduction in the number of cases referred to more expensive residential drug and alcohol treatment.

Resources:

Substantial human resource commitment.

Suggestions for implementation:

Survey judges, probation officers, and attorneys to determine the level of interest in a more intensive CCC program.

Results/evaluation:

We are conducting an evaluation. The results are not yet available. We believe that offenders who otherwise would be returned to prison are benefiting from this program.

Chief or contact:

Keith A. Koenning Northern District of Ohio (216) 522-2218

AUSA Assignment to U.S. Probation

Issue, problem, challenge being addressed:

Revocation and other supervision issues before the court.

Objective:

To improve the U.S. attorney's office involvement and consistency in supervision matters presented to the court.

Description of practice:

An assistant U.S. attorney from the San Antonio division has been designated to represent the government in all cases concerning supervision matters that require presentation to the court. These matters include circumstances of revocation, amendment to conditions, and "no action" responses by our office. The AUSA is consulted and advised concerning the officer's decisions prior to submitting a notice and recommendation to the court.

Benefits:

Consistency from the government has improved significantly concerning probation and term of supervised release matters before the court. As a result of this practice, the particular AUSA assigned to our office has been supportive of probation officer actions. He is eager to advise, and is generally concerned with our supervision efforts. In previous experiences with the U.S. attorney's office, supervision matters were handled by the AUSA who originally prosecuted the case, and often appeared to be a distraction to the government. Occasionally, probation officers would find themselves alone before the court, without support from the government's representative in a revocation matter.

Resources:

No additional time, money, space, or personnel have been required of the U.S. probation office. To the contrary, these resources have been conserved in light of the improved cooperation we have received from our contract with the AUSA.

Suggestions for implementation:

It is imperative to convince the U.S. attorney's office of the benefits they will realize by assigning an AUSA to handle these matters. Primarily, this arrangement eliminates the need for AUSAs to take time away from their new cases to represent the government in a supervision matter. If the cooperation of the U.S. attorney's office is obtained, the individual designated to represent the government in supervision matters must be a willing and

interested participant, one who is as committed as the probation officer to the practice's objective.

Results/evaluation:

This venture has proven to be very successful. The government's readiness and thorough preparation before court appearances on supervision matters has enhanced the efficiency of those hearings. In most instances, revocation hearings now entail plea agreements resulting in pleas of true, saving time for all participants, including the court. The government's consistent approach to supervision matters has eliminated offenders' and their counsel encountering an unprepared and disinterested AUSA at revocation hearings.

Chief or contact:

H. H. Whitehill Western District of Texas (210) 229-6590

Dealing with Delinquent Written Monthly Supervision Reports (a/k/a Operation MESS—Mail Early or See the Supervisor)

Issue, problem, challenge being addressed:

Delinquent submission of written monthly supervision reports. Note: In Northern New York offenders submit Form 8's by mail.

Objective:

To enforce timely submission of written monthly reports by offenders.

Description of the practice:

- Step 1: Offenders who are chronically delinquent in submitting Form 8's are identified by student interns and are sent a letter of admonishment by the chief USPO.
- Step 2: On the 8th day of each month, a probation clerk generates a reminder letter (Form 36) to offenders whose reports have not been received. The letter is signed by the USPO.
- Step 3: On the 16th day of the month, offenders whose reports have still not been received are sent a letter that instructs them to report in person to a SUSPO or senior USPO.

Benefits:

Increased awareness by offenders of the immediate consequences of non-compliance. Stimulation of synergy in problem solving among CUSPO, SUSPO and line officers.

Resources:

Less than 1% of CUSPOs time; approximately 3% of SUSPOs time.

Suggestions for implementation:

Preliminary discussion, possibly at a staff meeting, followed by a memo from the chief to elicit team approach among the CUSPO, SUSPO, USPOs, and clerks.

Results/evaluation:

The number of delinquent monthly reports should decrease significantly. Officers are encouraged by the support of CUSPO and SUSPO in enforcing reporting requirements.

Chief or contact:

Alan J. Cunningham Northern District of New York (518) 472-3618

Graduated System of Sanctions for Substance Abuse

Issue, problem, challenge being addressed:

The need to ensure that officers would respond in a similar manner to specific behaviors of substance abusers.

Objective:

- To ensure that offenders are supervised in a like manner, regardless of assigned case supervisor.
- To continue to allow for a range of responses to individualize treatment, depending on specific case needs and objectives.

Description of the practice:

A copy of this district's phase and sanction system is available upon request. It was adopted unanimously by our judiciary in November 1988. The phase system is in effect for one year. It was divided equally into four month segments. This was due primarily to a response to a study that we conducted showing that a high percentage of our failures were occurring in the first 120 days of supervision. By shortening the more expensive phase one, we are able to save funds.

Benefits:

By requiring officers to intervene quickly and decisively, we are able to respond at the "slip" level before true relapse has occurred. Additionally, since offenders are aware that any usage will not be tolerated, we are able to maximize deterrence.

Resources:

Since the inception of this program, the number of cases requiring residential placement has decreased dramatically. The savings have been considerable and enable us to focus expenditures on the most cost effective outpatient regimen. Additionally, our violation rate is impressive compared to the national average, despite a fully randomized urine test system that requires submissions seven days per week.

Suggestions for implementation:

Some staff resistance can be anticipated initially. Because of diverse philosophies, some may regard this as punitive, while others regard it as lenient. If the judiciary is supportive, the staff tend to become supportive as well. Rather than foisting this upon the staff, some meetings soliciting input might help to engender support. If a system such as ours was distributed for comment, then the final document might reflect a product that is more responsive to the needs of a specific district.

Results/evaluation:

Although anecdotal and other data (lower than average positive urine and revocation rates) suggests this program has been successful, the current National Institute of Justice study in which we are participating should be able to empirically establish this program's effectiveness.

Chief or contact:

Loren A. N. Buddress Northern District of California (415) 556-0202 or James Fitzsimons (415) 556-2633

(Similar practices were also submitted by David E. Miller, Southern District of Ohio, (614) 469-5580, and Leonard J. Bronec, District of Kansas, (913) 551-6717. You may want to contact these districts for additional information.)

Guidelines for Violation Hearings

Issue, problem, challenge being addressed:

- USPO role with AUSA in supervision matters is distinctly different from USPO role with AUSA at the original sentencing.
- Limited communication between the AUSA and the USPO prior to the actual violation hearing reduces the effectiveness of the violation process. Issues concerning the case, as well as differences of opinion regarding the recommendation, may not be resolved prior to the court appearance.
- USPO may be left out of the loop in an exchange of new information between the AUSA and defense counsel.

Objective:

- Increase the resolution of issues and recommendation before the hearing.
- Exchange the new information among the AUSA, defense counsel and the USPO.
- Expedite the violation process by clarifying common areas of confusion such as guidelines regarding policy statements, limits on supervision, "use" vs. "possession" of drugs, and the definition of "original sentence."

Description of the practice:

A written guide is included with each packet of violation materials sent to the U.S. attorney's office to facilitate preparation for probation and supervised release violation hearings. A copy of the guidelines is available upon request.

Benefits:

Increased understanding between AUSA and USPO of violation issues and enhanced effectiveness in the violation process.

Resources:

Paper and personnel time.

Suggestions for implementation:

Involve AUSA and CUSPO in developing the procedure that will best achieve the objective.

Results/evaluation:

This is a new procedure supported by both the U.S. attorney and chief USPO. Implementation has just begun.

Chief or contact:

Robert M. Latta Central District of California (213) 894-3610

Intensive Supervision

Issue, problem, challenge being addressed:

Increasing knowledge of offender activity with the goal of reducing noncompliant behaviors, e.g., illegal drug use.

Objective

Providing an immediate, significant sanction for non-compliant behavior with the goal of reducing such behavior.

Description of the practice:

Offenders are placed on daily telephone reporting of their whereabouts and activities. They are instructed to call the officer's pager before they move from one location to another during the day, and upon arriving home in the evening. If they do not receive a call from the officer after waiting 15 minutes, they are instructed to leave a detailed message on the officer's answering machine including name, time of day, destination, and estimated time of arrival. Offenders are conditioned to the procedure by initially responding to every beep and gradually dropping frequency to the level necessary to maintain reporting. (Since this procedure is now being used for drug users under general supervision, it includes twice-per-week testing and attendance in a drug abuse education twenty-hour program. Theses cases are transferred to the intensive supervision caseload within three days of a positive test result).

Benefits:

- Officer has information about the offender's location, activity pattern, and
 lifestyle at all times and verifies the offender's location by field contacts.
 Officer's presence in the offender's life is extended, in that the offender
 never knows when the officer will respond. Reporting (transcribed by the
 clerk) continues when the officer is off-duty.
- Offender is deterred from criminal associations and behavior by the need to report every location change.

Resources:

- Savings: because no action is required by the releasing authority, significant time savings is realized in that the need for paperwork, going to court, court hearing, and attorney involvement is obviated. Treatment funds are saved since the procedure behaviorally screens offenders needing treatment from those who do not. There are no outside contractor costs, and additional paperwork is limited to one instruction sheet.
- Equipment required: a fifteen memory pager and an answering machine with remote message retrieval and date-time feature. A cellular phone is desirable.

 Personnel: officers attuned to supervision. Investigative training is important. Caseload size not to exceed twenty-five if the entire caseload is on this procedure. Positive management support of the officer's actions is needed. Offenders will complain because their behavior patterns are significantly affected. These complaints must be handled with constructive support of the officer by management.

Suggestions for implementation:

Can be implemented in any situation where non-compliance has been detected. Can also be used on identified high-risk offenders, e.g., in drug treatment, unemployed, violent, or supervision violators. The procedure can be used in conjunction with EM to track the offender outside the home, and by halfway houses for the same purpose. It can also be used with juveniles.

Results:

No controlled research has been conducted. By December 31,1993, from a total of 83 offenders, 20 (24%) had completed and 37 (44.5%) were in the intensive caseloads. There were 12 (15%) warrants and 6 (7.2%) revocations. Sixteen (19.2%) used cocaine while under intensive supervision. Five (6%) were transferred to treatment. No conclusions should be drawn from these statistics until controlled research is done.

Chief or contact:

Carlos Juenke or Marci Almon Southern District of Florida (305) 536-7398

Modification of the Conditions of Supervision Packet

Issue, problem, challenge being addressed:

Conditions of release are often modified with an offender signing a Waiver of Hearing form. Officers often have difficulty determining if their wording for the modification is consistent with policy. This poses a particular problem when officers are in the field and do not have access to office resources.

Objective:

All modification forms will have standardized language and will be readily available to officers in the office and the field.

Description of the practice:

A list of the most frequently used modifications was compiled. The appropriate language for each condition was agreed upon. A packet containing "shells" of each modification was given to every officer for use in the field and office. Masters are stored in the computer for later retrieval.

Benefits

When the officer in the field or at the office determines a need to have a waiver signed, it is available with the proper wording. This is a quick and cost effective procedure that ensures that the modification of the conditions of release is completed correctly every time.

Resources:

Staff time.

Suggestions for implementation:

Use language that the management team adopts.

Results/evaluation:

Waiver and petitions have been standardized. Appropriate language has been adopted by the probation office.

Chief or contact:

Barry J. Weiner Middle District of Florida (813) 228-2901

Non-compliance Case Conference Chaired by a Deputy Chief Probation Officer or Supervising Probation Officer

Issue, problem, challenge being addressed:

The management of non-compliant behavior.

Objective:

Ensure that offenders are effectively sanctioned and that remedial action is taken.

Description of the practice:

All significant instances of non-compliance are reported to management staff. In most cases, the non-compliant behavior is addressed initially through an administrative case conference involving the deputy chief probation officer or supervising probation officer, the probation officer and the offender. The conference involves a complete review of the case and consideration of possible interventions or sanctions, including community confinement, drug or alcohol in-patient treatment, and electronically monitored home confinement. The offender executes a waiver of his right to counsel and a hearing. Conditions are modified using the AO PROB Form 12B.

Benefits:

- Non-compliant behavior is addressed before it escalates to criminal conduct.
- Judicial and prison resources are conserved.
- Management staff is afforded an opportunity to closely observe a probation officer's interaction with the offender.
- The conference helps to ensure that probation officers are aware of their statutory duties and office policy.
- The importance of goal-directed activities is reinforced.

Resources:

The conference does not require a significant commitment of time.

Suggestions for implementation:

Emphasize the importance of a collaborative approach involving management, the probation officer and the offender.

Results/evaluation:

The collaborative approach to supervision and the use of graduated sanctions has been an effective tool in dealing with non-compliant behavior. It forestalls revocation proceedings and enhances the officer's authority for future supervision efforts.

Chief or contact:

Joseph P. Donohue and Thomas J. Earley Middle District of Pennsylvania (717) 342-8128

(Similar practices were also submitted by David Looney, (503) 326-2117; Thomas G. Ogden, Utah, (801) 524-5176; Ellen Krause, Delaware, (302) 573-6179; and William A. Barrett, Eastern District of California, (209) 487-5822. You may also want to contact these districts for additional information.)

Non-compliance Workbook

Issue, problem, challenge being addressed:

Violations pursuant to USSC Chapter 7 are often complex. Officers need to refer to several resources to complete a violation packet.

Objective:

Provide a comprehensive workbook under one cover, which contains the information needed to prepare a routine violation report.

Description of the practice:

A work group met and compiled information for inclusion in the workbook. Included are a revocation checklist, a step-by-step itemized list of tasks that need to be completed, sample revocation packets, suggested wording for more common violations, Title 18 sections relating to violations, Supreme Court and circuit decisions regarding revocation, and articles relating to violation issues, such as "Looking at the Law" and *News and Views*.

Benefits:

District reports are uniform throughout the district, and contain the essential elements.

Resources:

A few good supervision officers, a few meetings, and a good photocopier. Minimal cost.

Suggestions for implementation:

Primary contributors to the workbook should be officers who prepare violation reports. They know what information is needed.

Results/evaluation:

Ask officers if they refer to the workbook and if it saves time and effort.

Chief or contact:

Barry J. Weiner or Ray Owens Middle District of Florida (813) 228-2901

Review of Requests for Summons and Warrants

Issue, problem, challenge being addressed:

Seeking a summons or warrant typically represents acknowledgment of the failure of community corrections. It is one of the most expensive actions available to us.

Objective:

- Ensure that probation officers and supervisors have considered all available intervention strategies before seeking a summons or warrant.
- Keep supervisors informed of the intervention strategies that are used throughout the district.

Description of the practice:

SUSPOs and clerical supervisors meet each Thursday on a rotating basis to review all pending non-emergency summons and warrant requests. Branch office staff participate by telephone.

Benefits:

Better informed supervisory staff. Concise reports and thoughtful recommendations to the court.

Resources:

Supervisory staff time.

Suggestions for implementation:

Involve all supervisory staff in the development of the policy. Monitor on a regular basis.

Results/evaluation:

This step can virtually eliminate the need to request a summons or warrant except in cases when we are seeking a modification of conditions that the offender is not willing to agree to, or in cases when we are seeking revocation.

Chief or contact:

Keith A. Koenning Northern District of Ohio (216) 522-2218

"Top Five" Supervision Model

Issue, problem, challenge being addressed:

- Develop an innovative approach to quality supervision of offenders who require immediate attention.
- Enforce the principles of "The Trinity."

Objective:

- Identify offenders with problems.
- Determine the probation officers' plan to bring the offender into compliance.
- Focus on quality supervision methods with input from other probation officers and the SUSPOs.

Description of the practice:

Every month, probation officers are required to submit a list of five offenders from their caseload who require immediate attention. The list includes the offender's name, type of case, special conditions, problems, and actions taken by the probation offer. A copy is given to the supervisor. A file copy is kept in the "Top Five" book as a reference document and an arrest log.

On the first Wednesday of each month, the supervision team meets with the clerks and the SUSPOs to discuss the offenders on the "Top Five" lists. The clerks benefit from knowing the status of each case. The supervisor of the supervision team takes notes on each "Top Five" list outlining any relevant comments or notes needed to monitor the case.

Other probation officers offer helpful suggestions if they have encountered similar experiences. This exchange of ideas and learning from one another creates the climate that supervision is important.

Benefits:

The "Top Five" model is goal directed and requires the probation officer to provide quality supervision. Probation officers clearly understand their roles and the "Top Five" concept enables them to make appropriate contact with offenders, control risks, and identify problems and case needs. A sense of accomplishment is felt by all probation officers each month as an offender either graduates from the "Top Five" or fails which results in revocation proceedings. The SUSPO and the supervisor of the supervision team benefit in that the one-office concept is kept intact. If one supervisor is out of the office, the other supervisor can respond to questions as they arise.

Resources:

Personnel time for SUSPOs, officers, and clerks to meet each month, discuss the cases, and record the results.

Suggestions for implementation:

A positive, proactive climate is vital in the monthly "Top Five" meeting. It should not be treated as just another meeting. In order to be successful, everyone must feel they have ownership and that their input is vital. Everyone must also assume a problem solving philosophy. The supervisor's responsibility is to convey management's vision and to motivate probation offers. For the "Top Five" concept to be successful, the supervisor must listen to team members and take notes on the probation officer's course of action. Supervisors are encouraged to use persuasion with each probation officer instead of criticism. Telling and demanding leadership styles will not work. Maintaining the self esteem of team members is crucial. If they are treated as professionals, they will be motivated, creative, and willing to explore new territory. Ideally, the supervisor needs to ride monthly with each probation officer to personally meet his or her "Top Five" offenders. Once the offender realizes the probation officer's supervisor is familiar with the case and provides instructions and helpful suggestions, the chance for success is enhanced. We need to strive to maintain the integrity of our supervision programs by ensuring that we are dedicated to providing high quality, goaldirected supervision.

Results/evaluation:

The Florence division has been utilizing the "Top Five" concept since the district of South Carolina implemented enhanced supervision on June 1, 1990. All supervision officers have responded in a positive manner. They appreciate the opportunity to openly discuss their cases in the "Top Five" meeting, and in the field with the supervisor. As a result of this practice, the supervisor is more aware of the problems facing probation officers and the probation officer's plan to bring the offender into compliance. Based upon the probation officer's input and management's assessment, the "Top Five" concept has been beneficial, providing highly quality, goal-directed supervision.

Chief or contact:

Robert J. Dew and Robert L. Baird District of South Carolina (803) 669-5254

Violation Worksheet

Issue, problem, challenge being addressed:

- Enforcement of supervision conditions.
- Recording potential violation(s) and following those issues to resolution. Sometimes issues get buried in files. Over time, the issue may be lost, overlooked, or forgotten in the papers and not identified in subsequent case recordings.

Objective:

- Prompt "flagging" of a file in instances of potential violation.
- Establishing a central location for documentation of any pending potential violation.

Description of the practice:

A "Violation Worksheet," goldenrod in color, is used to hand-record data such as criminal investigation information, arrest or technical violations, and the offender's statement. A summary of contacts regarding the matter is listed on the reverse side of the form. This worksheet continues to be used until the matter is resolved. A copy of the form is available upon request.

Benefits:

Any pending violation activity is readily apparent to the officer of the day, or other staff who have access to the file.

Resources:

Cost for colored paper, personnel time.

Suggestions for implementation:

A supply of this form is best retained in a specific location in each office for ease of access. Staff need to become accustomed to using it routinely. It is another place where contacts on cases are recorded.

Results/evaluation:

The worksheet quickly identifies the status of a potential violation(s). It is especially useful for new criminal cases, as these are more clearly potential violations.

Chief or contact:

Robert M. Latta Central District of California (213) 894-3610

Violators Sanction Center

Issue, problem, challenge being addressed:

Intermediate sanctions for technical violations of supervision.

Objective:

To salvage technical violators after all other intermediate sanctions have been exhausted.

Description of the practice:

A probation officer is stationed at a local community corrections center. The officer directs a program of life-skills counseling, drug treatment, and employment placement at a 120-day voluntary residential program. This program is specifically designed for technical violators for whom the USPO would otherwise have requested a warrant.

Benefits:

Probationers, parolees and TSR cases are brought into compliance with the conditions of supervision while remaining in the community. They are given remedial assistance to improve their chances of future success under supervision.

Resources:

One probation officer to direct the program.

Suggestions for implementation:

Advance planning and cooperation among the court, the community corrections center director, and the U.S. parole commission are required to implement this program.

Results/evaluation:

Seventy-seven percent of the violators referred to the violators sanctions center successfully complete the 120 day program and are returned to community supervision.

Chief or contact:

David E. Johnson District of Maryland (410) 962-4741

Chapter IX Officer Safety

Defensive Tactics Instruction

Issue, problem, challenge being addressed:

The effect on officer safety of the increasing number of violent offenders under supervision.

Objective:

- Threat assessment.
- Mental preparation.
- Personal safety.
- Officer confidence.

Description of the practice:

A basic 40-hour defensive tactics program for officers was designed to provide training in simple and effective principles and techniques that were developed by the FBI. This program's objectives are to promote officer safety and enhance the officers' ability to defend themselves against physical confrontation.

Benefits:

Promotes physical fitness, illustrates the correlation between threat assessment and personal safety, enhances the officers' ability to defend themselves, and increases morale.

Resources:

A 120-hour certification program by the FBI. Equipment including mats and cushions, and meeting space that is large enough to accommodate ten to twelve officers.

Suggestions for implementation:

Contact a district with an existing program for suggestions.

Results/evaluation:

Officers who have been through the program report that they have enhanced their threat assessment skills. They also indicate a greater appreciation for the benefits of physical fitness as it relates to both their personal and professional lives.

Chief or contact:

S. J. Rackmill Eastern District of New York (718) 330-2642

Field Supervision Teams for High-Risk Cases

Issue, problem, challenge being addressed:

Officer safety.

Objective:

Improve officer safety so that safety concerns are less likely to interfere with field supervision.

Description of the practice:

Officers work in pairs when they plan to make home and other community contacts for high risk cases. Officers with different philosophies (enforcement versus treatment) are deliberately paired together.

Benefits:

Home and community contacts can be made on high-risk cases with less risk to the officer. Two officers can better evaluate difficult situations.

Resources:

Personnel time.

Suggestions for implementation:

Pair officers who work well together.

Results/evaluation:

More field supervision of high-risk cases. Officers experience less stress in the field.

Chief or contact:

Robert L. Brent Western District of Michigan (616) 456-2384

(Similar practices were also submitted by William A. Barrett, Eastern District of California, (209) 487-5822, and Frank D. Hall, Jr., Southern District of Indiana, (317) 226-5151. You may want to contact these districts for additional information.)

Identification of Dangerous Areas

Issue, problem, challenge being addressed:

Officer safety in the field.

Objective:

- To promote officer safety in the course of fieldwork.
- To familiarize staff with high-risk areas within the district.

Description of the practice:

A notebook containing maps of high-risk areas and safety issues, such as gang activity, was compiled by the district's safety committee. The notebook is maintained by a designated safety officer in each branch office and covers the entire district.

Benefits:

- Provides a valuable resource for new officers who may be unfamiliar with the demographics of the district.
- Heightens staff awareness about safety issues associated with high-crime areas.
- Provides useful information on which to base decisions concerning the safest time of day to make the contact, whether a partner is needed, or if the field contact should be made at all.

Resources:

Personnel time and interest.

Suggestions for implementation:

Establish a committee of interested officers who will serve as liaisons with local police to obtain the information needed to compile a notebook about the district.

Results/evaluation:

Provides officers with a tool to evaluate safety issues in the field.

Chief or contact:

Loren A. N. Buddress Northern District of California (415) 556-0202

Instruction Card for an Officer-Involved Shooting

Issue, problem, challenge being addressed:

Liability issues for officers involved in a shooting incident.

Objective:

To ensure a standardized officer response to a critical incident.

Description of the practice:

Officers carry a plastic, wallet-sized card that contains specific instructions for the officer to follow if he or she becomes involved in a shooting incident.

Benefits:

The standardized officer response minimizes liability and maximizes officer safety and protection.

Resources:

Staff can make the cards easily and economically.

Suggestions for implementation:

Have the firearms instructor distribute the cards and provide initial training.

Results/evaluation:

Officers do carry the cards and they have a clear understanding of the procedures.

Chief or contact:

Pat Foy District of Nevada (702) 388-6089

Processing Seized Evidence

Issue, problem, challenge being addressed:

Chain of custody.

Objective:

To protect the evidentiary chain of custody against legal challenge.

Description of the practice:

Our district's policy on processing evidence provides a definition of terms and instructions on seizing, marking, sealing, storing, releasing and transferring evidence and contraband. The policy also contains a procedure for internal controls.

Benefits:

Ensures the admissibility of seized evidence.

Resources:

Evidence bags and seals are very inexpensive. Secure the evidence room with deadbolt locks. Shelving, lockers or a vault are required.

Suggestions for implementation:

Initial training may be conducted by the staff safety officer. The policy should be included in the office manual. Copies of the policy should be kept in the officer's field book and the GSA cars.

Results/evaluation:

This practice has been effective in protecting the integrity of seized evidence.

Chief or contact:

Robert Musser District of Nevada (702) 388-6097

(In March 1993, the Judicial Conference of the United States considered and approved for distribution model search and seizure guidelines for probation officers conducting searches and seizures of persons on probation or supervised release. The "Model Search and Seizure Guidelines" should be used in developing any in-district policy on search and seizure.)

Safety Academy

Issue, problem, challenge being addressed:

A significant amount of training and time has been devoted to inform USPOs of officer safety issues. However, once trained, there was no real way to test in advance how officers would respond to a real threat situation. Given the potential for liability in this area, and the need to enhance prospects for officer safety, a program was needed.

Objective:

The objective was to create a training environment which simulated threat situations wherein officer's responses were honed, observed and assessed.

Description of the practice:

A week-long, hands-on safety academy was developed to improve officers' responses to threats and to assess the officers' ability to put together and apply all the safety training and information previously made available to them. Using case scenarios, trainers act out roles as probationers or parolees. Officers are expected to respond to the scenario as they would in an actual field situation. All of the scenarios are videotaped. The academy also features a search scenario; mat work; defensive techniques; advanced firearms training, including the use of a Firearms Training Simulator, that focuses on "shoot/don't shoot" scenarios; and whole group discussions based on videotaped responses. Typically, a morning session is spent with participants acting out a scenario alone or in pairs, watching safety-related videos and taking turns using the firearms simulator. Afternoons are spent on defensive tactics training.

Benefits:

Officers can practice and hone responses to threatening situations before they actually occur in real life. They experience the myriad of emotional and psychological changes that occur during "flight or fight" situations. Trainers have an opportunity to assess each officer's response and demonstrated understanding of policies and procedures. Areas requiring further training and development can be pinpointed. Officers who have gone through the academy develop a greater understanding of safety issues and confidence in their abilities to respond appropriately to a given situation.

Resources:

Cost for the academy is manageable. The training staff for the academy is comprised of in-district SUSPOs and senior officers. The academy runs for a full five days; per diem applies for non-resident staff who attend as trainers or participants. Obtaining a training site is an issue, since a proper facility is vital to success. A community college law enforcement training facility in

Sacramento and a sheriff's training facility in Fresno have proved quite adequate for the program. The firearms training machine is borrowed at no cost from local law enforcement.

Suggestions for implementation:

There must be a district wide commitment to safety issues. Classroom training on safety policies and procedures must precede the academy experience. Participation in the FJC officer safety program would fulfill this prerequisite. Trainers must be well versed in district policies and procedures. Videotaping officers is an effective mechanism for training and self learning. Scenarios should last no more than a few minutes per participant. If it takes longer to get the intended response, modify the scenario so that shorter response time is ensured.

Results/evaluation:

At the end of each day, participants share two things they learned with the group. Participants also complete written evaluations for the day's training which are then reviewed by the training team. Over all, the evaluations have been very positive. Participants frequently describe the training as the most meaningful and best training they have ever had.

Chief or contact:

William A. Barrett Eastern District of California (209) 487-5822

Search and Seizure

Issue, problem, challenge being addressed:

Professional and legal standards for search and seizure.

Objective:

To provide standards and guidelines for search and seizure to ensure consistent, legal and professional practices that emphasize officer safety.

Description of the practice:

Our district's policy on search and seizure requires a team approach, preplanning, the presence of a policy advisor, SUSPO, DCUSPO or CUSPO, and a post-search debriefing. The policy also includes a well-developed equipment check list.

Benefits:

The aspects of planning and team work maximize officer safety and enhance offender accountability. The presence of a policy advisor minimizes officer liability.

Resources:

Execution of a preplanned search is labor intensive.

Suggestions for implementation:

Court support is imperative.

Results/evaluation:

In FY 93, officers in Nevada conducted 23 searches; 87% resulted in seizures of contraband. Seventy-six weapons, ammunition, drug paraphernalia, stolen PharmChem supplies, counterfeit documents and miscellaneous stolen property were seized. Several drug seizures were sufficient to merit new prosecutions.

Chief or contact:

Robert Musser District of Nevada (702) 388-6097

(In March 1993, the Judicial Conference of the United States considered and approved for distribution model search and seizure guidelines for probation officers conducting searches and seizures of persons on probation or supervised release. The "Model Search and Seizure Guidelines" should be used in developing any in-district policy on search and seizure.)

State Patrol Safety Check-In

Issue, problem, challenge being addressed:

When officers are in the field after hours or on weekends, they may not have a method for someone to check up on them when making a contact or going into an area where they have a safety concern.

Objective:

To have local law enforcement follow-up on officers in the field who may encounter a personal safety problem while on duty after normal office hours.

Description of the practice:

Probation officers are assigned code numbers for state patrol identification. Using a mobile radio or cellular telephone, they call state patrol to advise that they will be going to a particular location and a return check-in call should be expected by a stated time. If no call-back is made, the agency will make an attempt to contact or respond with a patrol car. During office hours, such callins can be arranged with the probation office.

Benefits:

This program gives officers an additional safety resource in the field.

Resources:

The probation office must have a means for communication, a radio, cellular phone, or telephone credit card. Many state patrol agencies or police departments offer this service upon request without cost.

Suggestions for implementation:

Meet with state patrol or law enforcement agency dispatchers to discuss this program.

Results/evaluation:

Not all officers use this program. However, those who work remote areas especially like this option.

Chief or contact:

Bob Thornton Western District of Washington (206) 593-6304

Chapter X Prerelease Programs

CCC Seven-Day Visit

Issue, problem, challenge being addressed:

Inmates arriving at the CCC from prison generally have questions and concerns about their upcoming supervision.

Objective:

The probation officer who will supervise the offender will visit him or her at the CCC within seven days of arrival.

Description of the practice:

Policy has been developed to state the agency's view on this important issue. Compliance and effectiveness of the policy is monitored on a monthly basis.

Benefits:

Early rapport is established between the offender and the probation officer. While at the CCC, the offender benefits from the probation officer's guidance.

Resources:

Personnel time.

Suggestions for implementation:

Officers may be reluctant to work with offenders who are not yet active cases. An understanding of the benefits will help to overcome any resistance to this procedure.

Results/evaluation:

Inmates have developed better release plans after consulting with their probation officer. The seven-day CCC visit assists the probation officer in the long run, since the offenders generally have suitable residences and employment upon release. Additionally, the offenders have generally commenced compliance with any required special conditions prior to their release.

Chief or contact:

Vicki G. Padgett Middle District of Florida (904) 232-3991

Coordination with Community Corrections Center Staff

Issue, problem, challenge being addressed:

Need to work closely with CCC staff to ensure offender's smooth transition to supervision.

Objective:

To facilitate the Initial Case Supervision Plan by "getting a jump" on the initial assessment period and determine risk and correctional treatment issues and strategies for BOP inmates.

Description of the practice:

Frequent contact with CCC counselors assigned to BOP inmates, including participating in staffing sessions and performing other functions either in concert with or as a favor to CCC staff, such as job-site inspections, etc.

Benefits:

Creates an easier transition to supervised release, including establishment of substance abuse treatment, and determination of fine and restitution payments. USPO develops early rapport with the offender and becomes an on site representative with federal inmates. USPO also becomes aware of problems at CCC that can be addressed with BOP CPM.

Resources:

Depending on their caseload numbers, USPO specializing in supervision should be able to incorporate this into his or her duties without too much effort.

Suggestions for implementation:

Emphasize the importance of this approach to supervision specialists, start a formal program, or reach an understanding with the CCC administration.

Results/evaluation:

The supervision officers find this program is very useful. SUSPO has observed that this approach allows USPOs to easily familiarize themselves with cases coming on to TSR. Initial case plans are improved.

Chief or contact:

Michael Ebinger Northern District of Iowa (319) 364-7058

Early Supervision

Issue, problem, challenge being addressed:

To identify and begin to address the offender's enforcement and treatment issues while they are residing in a CCC.

Objective:

- To provide offenders with a better understanding of the expectations of supervision.
- To establish fixed activities responding to supervision issues (i.e., payments, treatment, etc.) when released to supervision.
- To reduce violations for non-compliance with enforcement and treatment conditions.

Description of the practice:

Pursuant to a cooperative agreement between the AO probation division and the BOP, the districts of Montana, Maryland, Eastern Missouri, Middle North Carolina, and Western Washington are involved in this demonstration project. Upon arrival at the CCC, the offender meets with the USPO and case manager for an initial screening. During the screening, expectations of supervision are explained, enforcement and treatment areas are delineated, and these areas incorporated into the CCC case management plan. The USPO then conducts corresponding activities to address or verify those issues during the offender's stay in the CCC. Upon release, the supervision file that was prepared while the offender was in the CCC is forwarded to the supervising USPO.

Benefits:

Provides the offender with realistic information regarding the goals of supervision prior to release. The offender begins to address enforcement and treatment conditions prior to release, allowing for a smoother transition or a lower level of involvement (i.e., treatment) when coming under supervision. When the offender is released, the supervising USPO can continue or modify those enforcement and treatment issues that were addressed at the CCC.

Resources:

Presently, three USPOs are providing this service at three CCCs located throughout the district. The only costs associated with the early supervision are the regularly paid wages and travel for the officers. Each USPO devotes an average of four hours per month to activities related to each offender in this project.

Suggestion for implementation:

If implemented, the CCC should assign one staff member to work with these offenders to minimize confusion regarding the objectives, the supervision issues to be addressed, and the level of manipulation that may occur.

Results/evaluation:

Beginning the supervision process while the offender is still in custody ensures that he or she is aware of the supervision expectations, and that enforcement and treatment conditions are addressed prior to release. The supervising USPO receives current information regarding supervision issues and offender compliance.

Chief or contact:

Tom Corbett District of Montana (406) 449-5388

Inside the BOP

Issue, problem, challenge being addressed:

Inmate education.

Objective:

Prepare inmates for post-release supervision.

Description of the practice:

Officers regularly make formal presentations to inmates to answer questions and to better prepare them for post-release supervision.

Benefits:

Inmates are well informed as to supervision expectations.

Resources:

Two officers meet with a large group of inmates, usually after hours, about once each quarter.

Suggestions for implementation:

Encourage participation by experienced probation officers.

Results/evaluation:

Facilitates a smoother transition from custody to release.

Chief or contact:

Irv Zimmerman and John Gonska District of Nevada (702) 388-6302 or 6473

Prerelease Services

Issue, problem, challenge being addressed:

Prerelease work with inmates at community correction centers.

Objective:

To facilitate smoother transition from the BOP to the community.

Description of the practice:

An officer is assigned to each inmate immediately upon arrival at a CCC. The officer is then available to CCC staff and the inmate for consultation and direction. The officer informally monitors the inmate's progress.

Benefits:

Any potential problems with employment, warrants, association, special conditions, etc., can be resolved prior to release. Because of the pre-existing knowledge of the inmate's status, the officer may respond immediately to the release plan submitted by the inmate.

Resources:

An early investment in time and energy by the officer. Less time and energy will be required when the inmate is released on supervision.

Suggestions for implementation:

Advise officers of the time management benefits of prerelease services and the benefits of coordinating the return of a prisoner to the community. CCC staff will be receptive to the program.

Results/evaluation:

Because of benefits associated with prerelease coordination, officers have noticed minimal impact on overall workload.

Chief or contact:

James L. Langston District of Nevada (702) 388-6086

Prerelease Supervision of Community Correction Center Inmates

Issue, problem, challenge being addressed:

The need to establish early control of supervision cases.

Objective:

To establish early control of upcoming supervision cases and ensure earlier and effective prerelease planning.

Description of the practice:

Probation officers begin enforcing conditions of supervision as soon as prerelease inmates arrive at the community corrections center. The probation officer is part of the CCC team for prerelease planning and supplements the CCC's monitoring of inmates in the community.

Benefits:

The probation officer is in a better position to begin supervision of offenders through early intervention, and the probation officer can use available Bureau of Prisons' resources to begin to fulfill supervision objectives.

Resources:

One percent of the probation officer's time.

Suggestions for implementation:

This practice requires advance planning with the Bureau of Prisons community corrections manager, the community corrections center director, as well as a written policy defining timing of notice to the USPO and the USPO's role.

Results/evaluation:

This early intervention provides better prerelease planning. It establishes control over all cases, especially those without a statutory requirement for prerelease planning.

Chief or contact:

David E. Johnson District of Maryland (410) 962-4741

Risk Preassessment and Supervision Preassignment

Issue, problem, challenge being addressed:

Supervision risk issues and problems.

Objective:

To identify and address potential risk problems and issues prior to the offender's release to the community.

Description of the practice:

This is a set of practices that has emerged from caseload specialization and our direct access to various computer information services, including SENTRY, NCIC/TCIC, LEXIS and PACTS, and our indirect access to other resources via liaison agencies.

USPOs and SUSPOs identify risk issues during the presentence or immediate post-sentencing process for offenders with significant risk potential, such as members of disruptive groups, conspiratorial narcotic offenders, sophisticated economic crime offenders, mentally disordered offenders, and offenders with potential for violent predatory behavior.

High-risk offenders are tracked by a SUSPO through the term of confinement until a furlough situation occurs, an institutional referral for community corrections center is received, or the offender's release date is imminent. Prior to the offender's release, the case is preassigned to a USPO. Depending on the circumstances of the case, the SUSPO either conducts an oral staffing with the assigned USPO or prepares a written risk analysis for the file. In all instances, the SUSPO and USPO work together to identify and anticipate risk problems or issues.

Benefits:

- USPOs get a "running start" on the case and are able to conduct comprehensive and meaningful initial interviews with offenders.
- The community is protected because potential risk problems are averted or diffused.
- Safety awareness and effective officer safety practices are enhanced. The practice of tracking, preassessing and preassigning high risk cases is in compliance with two of the three recommendations made by the Probation Division review team in its April 15, 1987 analysis of the circumstances leading to the death of USPO Thomas E. Gahl.

Resources:

SUSPO time (no more than one hour a day).

Suggestion for implementation:

The USPOs assigned to drug-involved, EM, intensive and special offender caseloads should have a strong philosophy and orientation toward risk control.

Results/evaluation:

The quality or effectiveness of practices are often difficult to quantify in the area of supervision. We believe that we are utilizing our human and technological resources to their best advantage in supervision risk management.

Chief or contact:

H. H. Whitehill Western District of Texas (210) 229-6590

Supervising Bureau of Prisons Inmates on Home Confinement with Electronic Monitoring

Issue, problem, challenge being addressed:

Our district has no halfway house resources. Releasing inmates need transition to the community. Supervising officers need a head start on cases.

Objectives:

- To demonstrate administrative commitment to the successful reintegration of inmates to the community.
- To enhance supervision by providing the resources and administrative support to make it successful.

Description of the practice:

We strongly encourage Bureau of Prisons' releases through home confinement. This condition gives us an early start on the development of a correctional treatment program, risk assessment, and compliance with conditions imposed.

Benefits:

Supervision staff are able to structure the inmate's return to the community, avoiding discrepancies between other community programs and supervision practices.

Resources:

Assuming responsibility for Bureau of Prisons cases does have a resource impact. It increases the number of home confinement cases we monitor, and we do not receive staffing credit for the BOP cases. However, we are able to begin correctional treatment at an earlier stage, on the Bureau of Prisons' budget rather than the probation office's funds. The negative impact on resources has been less than anticipated. Also, involvement of other officers (e.g., the PSI unit) in BOP disciplinary procedures gives them a broader perspective.

Suggestions for implementation:

The chief needs to clearly support undertaking this workload, and stress the case management benefits that the supervision officers will gain.

Results/evaluation:

The BOP CCM assessment is that the level of service provided to them is a major benefit. The SUSPO and supervision officers perceive benefits in the management of cases that will soon require their supervision. The initial case assessment can often be accomplished while the offender is in the custody of the BOP.

Chief or contact:

James M. Dean District of Vermont (802) 773-0263

Use of BOP Transitional Services Funds for Substance Abuse Treatment

Issue, problem, challenge being addressed:

Inmates are often released from the institutions to a CCC and must await release to supervision before they are eligible for outpatient substance abuse treatment services. This period is the most crucial time in their transition to the community, and treatment services are often unavailable.

Objective:

To provide outpatient treatment services to inmates upon arrival at a CCC. These services can help the inmates cope with pressures of adjustment to the community and prevent their return to substance abuse.

Description of the practice:

A probation officer is assigned as a liaison to each CCC. The liaison officer meets with the CCC counselor and each new inmate to evaluate program needs. If there is a history of substance abuse, the probation officer encourages the inmate to enroll in treatment during CCC residence. The probation officer makes a referral to a probation office contract agency and forwards paperwork to the BOP Regional Transition Services Coordinator. The probation officer provides the necessary background information to the contract treatment agency and follows up on the inmate's progress.

Benefits:

Through this program, offenders can be placed in treatment immediately upon arrival in the community and continue in the same probation office contract agency program when released to supervision. Early treatment efforts can intervene in problem behavior before the inmate leaves the CCC.

Suggestion for implementation:

The probation office should invite the Regional Transition Services Coordinator to an organizational meeting of probation officers, CCC staff, and treatment providers. The district substance abuse specialist may want to meet with treatment providers to discuss specific transition needs of inmates.

Results/evaluation

Since beginning the program 18 months ago, numerous inmates have been referred for treatment. Since September 1993, 40% of CCC inmates have entered BOP-funded treatment at probation contract agencies. This program has been well received by inmates and, because initial treatment is funded by the BOP, some demands on probation drug aftercare funding have been reduced.

Dick Westman Western District of Washington (206) 553-7435

Chapter XI Programs Designed to Respond to Supervision Issues

Educational Presentations and Group Counseling Provided by District of Utah Probation Officers

Issue, problem, challenge being addressed:

Cost effective program supplement to drug aftercare and mental health referrals and options.

Objective:

Provide group treatment and educational classes for offenders at no cost to the probation office.

Description of the Practice:

Our district has developed a program for offenders with substance abuse or mental health problems. It is known as CORE, which stands for Caring for Others through Rehabilitation and Education. There are two tracks:

- A weekly education and discussion program presenting seven subjects via film, lecture, and discussion; and
- On-going open ended weekly group guided interaction sessions, with subject matter determined by the needs of the group participants.

Benefits:

- Increased communication and trust between offenders and USPO staff.
- Quality weekly contact with high-activity offenders consistent with the enhanced supervision model.
- Opportunity for USPOs to develop and hone public speaking skills.

Resources:

USPO staff time. Availability of group conference room.

Suggestions for implementation:

A facilitator's manual is available upon request from the District of Utah probation office.

Results/evaluation:

Interviews of participants, including a questionnaire completed at the end of the program, indicates that communication between offenders and the USPO improves. Skills are acquired in areas such as conflict management, communication, substance abuse issues, etc., enabling compliance and a more positive lifestyle. Staff enjoys job diversity and options for supervision contacts.

Thomas G. Ogden District of Utah (801) 524-5176, ext. 3573

(A similar practice was submitted by Henry N. Milburn, District of Maine, (207) 780-3358. You may want to contact this district for additional information.)

Family Orientation to the Supervision Process

Issue, problem, challenge being addressed:

Supervising officers often find family members, who play a major role in offender supervision, to be adversaries rather than collaborators.

Objectives:

- To enlist the assistance of family members in ensuring offender compliance.
- To initiate the development of a healthy environment for the offender.

Description of the practice:

During the pre-release process, families are invited to attend a two-hour orientation that is presented in English and Spanish. This session was developed and is presented by probation support staff. It includes:

- a general description of and purpose of supervision;
- information about the importance of the family's role in the supervision process; and
- a referral system for dysfunctional family members.

Ongoing surveys are used to improve the process.

Benefits:

Initiates a change in the family's paradigms about probation staff and supervision. By enlisting families in the supervision process there is less confusion as to the purpose of the officer's home contacts and the officer's efforts (frequently involving the family) to obtain compliance with special and general conditions. The training session provides a vehicle to correct problems in dysfunctional families.

Resources:

Support staff's evening hours once a month, video and manuals.

Suggestions:

The involvement by support staff has had a very positive impact on their overall job performance, since they now have more ownership in the supervision mission. There was some fear among officers that the support staff was not prepared for this responsibility; however, this has since been obviated based on the positive results of the orientation sessions.

Results:

The orientation sessions have become part of our comprehensive enhanced supervision process. Families have been very receptive to the "nonthreatening" support staff and now routinely seek information and assistance from them.

Paula Pitts Southern District of Florida (305) 597-4754

In-House Program on Lifestyle Changes for Offenders

Issues, problem, challenge being addressed:

Research has shown that offenders whose supervision includes programs that address such problem issues as addiction, family, and marital problems are more likely to make life-style changes. Many cannot afford professional counseling. The cost of local programs can sometimes drain an austere budget without dealing with significant issues.

Objectives:

To encourage the offender to make positive lifestyle changes through meaningful, supervision-related programs.

Description of the practice:

Officers develop their own program or obtain commercially prepared programs, such as Asleton's "Design for Living." With that program, a team of two officers conduct weekly, two-hour meetings with fifteen to thirty offenders. Each program runs from six to twelve weeks.

Benefits:

Offenders obtain information in an interactive format with others who may have experienced similar difficulties. Officers increase their knowledge and hone presentation and teaching skills. Treatment costs can be significantly reduced.

Resources:

Four hours per week, plus preparation time for the officer. The cost for the "Design for Living" program is approximately \$500. Many resources can be obtained without cost from local agencies or the FJC's media library.

Suggestions for implementation:

Officers should be encouraged to develop groups in which they have an interest. Recognition and rewards will encourage officer participation. Adequate training facilities and equipment will enhance the quality of the program.

Results/evaluation:

This program has been a cost-effective supplement to traditional supervision tactics. It has been instrumental in developing the officer's skills. Participation in the program has helped offenders make changes in their lifestyles. The programs have also served as catalysts for offenders' participation in twelve-step programs, pastoral counseling and other types of support activities.

Don Hardaway and Gordon Okada Northern District of Texas (214) 767-3010

Job Squad

Issue, problem, challenge being addressed:

Unemployment and underemployment.

Objective:

To assist offenders under supervision in securing employment and meeting financial responsibilities of supervision.

Description of the practice:

Three officers are assigned to the Job Squad. They provide job development and accept referrals from other officers for job placement. Twice a month "Job Readiness Groups" are held for all unemployed or under-employed offenders.

Benefits:

Reduced unemployment and reduced recidivism. Positive outcome of supervision: regular fine payments, restitution payments and family support. Offenders perceive U.S. probation officers as non-adversary.

Resources:

Job bank computer, job listings obtained by Job Squad leaders, and personnel time.

Suggestions for implementation:

Need to market services to U.S. probation officers and offenders.

Results/evaluation:

Survey offenders referred for job placements every six months to determine their employment status. Responses from offenders and U.S. probation officers, to date, have been positive.

Chief or contact:

H. H. Whitehill Western District of Texas (210) 229-6590

(A similar practice was also submitted by T. A. Hummel, District of Idaho, (208) 334-1630. You may want to contact this district for additional information.)

Offender Orientation

Issue, problem, challenge being addressed:

Inconsistencies in the information conveyed to offenders about their responsibilities and the district's supervision processes.

Objective:

To properly initiate supervision for all offenders through a formal orientation.

Description of the practice:

All offenders attend a two-hour orientation within one week of release. When an offender reports for supervision, he or she is given a brief supervision manual and notice of a date to report for orientation. The group orientation is conducted weekly in Spanish and English, by a team of officers. The session includes: a professionally-made videotape that includes a description of the supervision process in the Southern District and a message from the chief; a review of the major conditions; and a question-and-answer period. A brief quiz is given at the end of the program to provide feedback from the offenders as to their understanding of the material covered and ongoing data for training of orientation teams. The program is periodically revised based on offender surveys.

Benefits:

The group presentation saves substantial time and ensures that all offenders understand supervision and the district's expectations.

Resources:

Two hours of evening work for a staff of four officers (two English, two Spanish). Videotape and hand-out materials.

Suggestions for implementation:

Offenders need to understand that they are required to attend orientation. If they miss a session, they are rescheduled until they comply. Staff is rotated so that officers are only scheduled four times a year. The videotape being used presently was expensive to produce. The original videotapes were made by staff.

Results/evaluation:

Offenders have been very receptive, for example, advising officers of firearms in their residences and seeking advice about how to get rid of them. Since this process is part of a comprehensive enhanced supervision strategy, it is part and parcel of our supervision effectiveness.

James E. Lyons Southern District of Florida (305) 273-3933

(A similar practice was also submitted by Robert M. Latta, Central District of California, (213) 894-3610. You may want to contact this district for additional information.)

Special Condition of Community Service Added for Unemployed or Under-Employed Offenders

Issue, problem, challenge being addressed:

Offender's refusal to become gainfully employed.

Objective:

To provide an incentive for offenders to earn a living and to contribute to the community's need for volunteer workers.

Description of the practice:

If an officer believes that an offender is willfully unemployed, especially one who has financial obligations to the court, the officer will ask the court to add a special condition to the term of supervision.

Benefits:

Reinforces the necessity to work to meet the financial conditions imposed by the court, as well as the offender's personal financial needs. Aids the community with volunteer workers and minimizes the offender's idle time.

Resources:

- Officer time to verify hours.
- Officer time to verify the offender's service to the volunteer agency.

Suggestions for implementation:

Convincing the offender to agree to a new condition and asking the court to add one if the offender doesn't willingly comply. The wording of the condition we use is: "The offender shall, during any period of unemployment, perform community service work not to exceed twenty hours per week."

Results/evaluation:

This condition motivates the offender to seek gainful employment, keeps the offender busy in the interim, and serves the community.

Chief or contact:

Henry N. Milburn District of Maine (207) 780-3358

Women in Need (WIN) —A Program for Women Convicted of a Financial Crime, or Who Were Coerced into Committing a Crime

Issue, problem, challenge being addressed:

Increasingly, the federal courts are seeing substantial numbers of female offenders who commit financial offenses because of pressure exerted by another individual or by a set of circumstances. The WIN program was designed to address the special needs of these offenders.

Objective:

To teach female offenders more effective ways of dealing with a variety of circumstances that, in the past, led them to criminal activity.

Description of the practice:

The WIN program is conducted by our senior mental health specialist. Groups of approximately eight female offenders meet two hours a week over a twelve-week period. The program addresses self esteem, communication, boundaries in relationships, money management and budgeting, coping with grief and loss, and leading a balanced lifestyle.

Benefits:

Providing these skills to an increasing number of our supervision population will increase the likelihood that the participants in the program will not fall back on criminal solutions to their problems. Research indicates that by providing specific, needed services to our supervision population, the likelihood of recidivism is substantially reduced. We expect that this will be the result of this program.

Resources:

The district's senior mental health specialist devotes two hours per week for twelve weeks for each group in the WIN program. An instructor's manual has already been developed and is available from the Northern District of California upon request.

Suggestions for implementation:

We believe that it would be most easily implemented by a mental health specialist or an individual with a background in training or psychology. However, given the background and experience of many probation officers, it could certainly be taught by an officer without specialized training.

Results/evaluation:

The results of the program could be evaluated by a comparison of the short, medium-, and long-term recidivism rates of the participants, compared to the rates of the general supervision population.

Sheralynn Freitas Northern District of California (510) 273-4392

Chapter XII Risk Control Activities

Alcohol-Related Driving Arrests Intervention Policy

Issue, problem, challenge being addressed:

Drinking and driving pose a significant risk to the community. The community may be exposed to additional harm while the offender's case is pending.

Objective:

Immediate intervention.

Description of the practice:

The officer is to seek modification of the conditions of supervision if there is reason to believe that the offender drove while under the influence and, therefore, placed the community at risk. The officer's decision should be based on the information contained in the arrest report, any statements made by the offender to the officer and the offender's history of similar offenses. Modifications include, at a minimum, sixty days of home confinement with electronic monitoring, and two random urine or breathalyzer tests per month. The offender must also participate in an approved education program on the risks of drinking and driving. The intervention is to occur at the time of the arrest, not at the time of conviction.

Benefits:

- Reduction of possible repeat behavior.
- Clear message that the probation officer will immediately act on the behavior and will not wait for a conviction.

Resources:

Additional costs for HCP.

Suggestions for implementation:

Involve all probation officers in the policy development. Review the policy semi-annually.

Results/evaluation:

This policy was adopted in November 1992. Our monitoring indicates that the policy has been applied to approximately twenty-five cases. We have not analyzed the impact.

Chief or contact:

Keith A. Koenning Northern District of Ohio (216) 522-2218

Employment Checks Following Offender's Resignation or Termination

Issue, problem, challenge being addressed:

Verifying information given by the offender to the U.S. probation officer.

Objective:

To verify information given by the offender to the U.S. probation officer and to inform the offender that this procedure will be conducted.

Description of the practice:

After receiving information that the offender has changed jobs, and the reason for doing so, an employment verification form (PROB 14D) is sent to the former employer.

Benefits:

Enables the U.S. probation officer to verify information and discover if there were problems at the work site, e.g., tardiness, theft, suspected drug or alcohol usage, or absenteeism.

Resources:

U.S. probation officer or clerk sends out the PROB 14D.

Suggestions for implementation:

May require follow-up on employers who do not return the form.

Results/evaluation:

Through use of this procedure, I have discovered that often the offender has been fired due to excessive absences, theft, or in one case, suspected drug usage.

Chief or contact:

Phyllis J. Nelson Central District of Illinois (217) 492-4215

Hunting License Verification

Issue, problem, challenge being addressed:

Determine if offenders are violating the law or supervision condition by using hunting weapons.

Objective:

To determine noncompliance.

Description of the practice:

Officers routinely contact the Wyoming Department of Game and Fish to determine if offenders have purchased game licenses. (It is illegal in this state to purchase a license to be used by another person.)

Benefits:

Ensures that offenders do not violate weapon possession restrictions.

Resources:

Minimal.

Suggestions for implementation:

Contact state agencies responsible for hunting activities. Determine if such information is computerized and if the agencies will release data to the probation office.

Results/evaluation:

Information obtained has been used, in part, as the basis for revocation. Compliance has been verified with several other cases.

Chief or contact:

Valerie A. Cavender Wyoming (307) 772-2318

Informants

Issue, problem, challenge being addressed:

Offender's request for permission to operate as an informant.

Objective:

- To establish uniformity and consistency in the use of informants.
- To evaluate the request and make recommendations to the chief.

Description of the practice:

- Investigative agency makes written request to CUSPO.
- Request is evaluated and staffed by SUSPO, PO and special offender specialist.
- Recommendation is made to the chief.
- Chief makes recommendation to the court.

Benefits:

After a thorough evaluation, the CUSPO can make an informed decision and subsequent recommendation to the Court.

Resources:

Personnel time.

Suggestions for implementation:

Chief and court's support. Cooperation of and briefing by investigative agencies.

Results/evaluation:

Informal follow-up on the case is done to determine if an appropriate decision(s) was made by all involved. Periodic reports are made to the probation office by the investigative agency using the informant.

Chief or contact:

Barry W. Polsky Eastern District of Pennsylvania (215) 597-7959

Law Enforcement Liaison

Issue, problem, challenge being addressed:

Management of intelligence information.

Objective:

To increase knowledge of offender conduct through liaison with law enforcement agencies.

Description of the practice:

The special offender specialist networks with local, state, and federal law enforcement agencies.

Benefits:

Interagency communication facilitates greater knowledge of offender conduct and minimizes unauthorized informant activity.

Resources:

Less than five percent of the senior officer's time.

Suggestions for implementation:

Suggest to all officers that they play a similar role in networking with other agencies.

Results/evaluation:

Feedback from other agency personnel has been favorable.

Chief or contact:

John Gonska District of Nevada (702) 388-6473

(A similar practice was also submitted by Stephen J. Rackmill, Eastern District of New York, (718) 330-2642. You may want to contact this district for additional information.)

Mail Cover

Issue, problem, challenge being addressed:

Monitoring mail to determine if an offender convicted of child pornography or mail fraud is again involved in the same criminal conduct.

Objective:

To determine if an offender is receiving child pornography or engaging in other fraudulent activity involving the U.S. Postal Service.

Description of the practice:

This practice is closely guarded by the U.S. Postal Inspection Service. A supervisory inspector authorizes the local postmaster to record and log all pieces of mail received by the offender. The log may be reviewed by the U.S. probation officer. The request for this activity should be made with discretion and related to the offense of conviction.

Benefits:

Determines if an offender is again involved in a pattern of criminal activity that may result in a new charge or violation of supervision.

Resources:

Minimal personnel time is used because the other agency records the information.

Suggestions for implementation:

Staff with the U.S. probation supervisor and contact the U.S. Postal Inspection Service.

Results/evaluation:

This is an excellent tool for monitoring an offender's mail to determine if he or she has continued in criminal conduct. This practice allows the U.S. probation officer to monitor the offender's behavior. This district has had good results with this practice.

Chief or contact:

Phyllis J. Nelson Central District of Illinois (217) 492-4215

Monitoring Prescription-Abusing Offenders

Issue, problem, challenge being addressed:

Offender's "doctor shopping" for prescription medications and passing those "scripts" at various pharmacies.

Objective:

To prevent "script abusers" from acquiring more medication than necessary.

Description of the practice:

Both the states of Wyoming and Colorado have pharmacy boards that establish lists of prescription abusers and check with state pharmacies monthly to determine if these individuals are using more than one pharmacy. The boards have willingly released this information to the probation office.

Benefits:

Ensures that "script abusers" are carefully monitored.

Resources:

Minimal.

Suggestions for Implementation:

Contact pharmacy board within the state to determine their practice and willingness to cooperate with the probation office.

Results/evaluation:

Practice has already resulted in notification by the board of an offender's attempts to pass scripts at various pharmacies. We have been able to take appropriate action.

Chief or contact:

John D. Olive District of Wyoming (307) 772-2318

Team Surveillance Operation to Confirm Accuracy of Employment Reports (Targeted at High-Risk Offenders)

Issue, problem, challenge being addressed:

Suspicion that a high-risk offender is falsifying employment reports to conceal illicit activities.

Objective:

To assess the legitimacy of the offender's claimed employment status and, if necessary, to initiate violation action upon verification of material misrepresentations.

Description of the practice:

To verify that the offender has been misrepresenting his or her employment status, the observation of the offender's daily activities must be continuous and conducted over a pre-determined period of time, such as for two consecutive weeks from 8:00 a.m. to 1:00 p.m. The operation must include instructions to the offender to complete a daily activity log or diary pertaining to employment activities that must be signed and submitted each month with the MSR.

Benefits:

Lends credibility to the principles of enhanced supervision by proactively monitoring compliance with conditions. Has potential for removing an offender from the community whose activities are highly suspect and shielded from the probation office through means of bogus employment.

Resources:

Because this is a time-intensive undertaking, the SUSPO should solicit the assistance of colleagues to share the burden of physical surveillance. In the absence of probation office resources, police assistance, in the form of surveillance vans, cameras and radios, could be considered.

Suggestions for implementation:

Care must be taken to ensure that the surveillance is not detected by the offender or others in the community who could compromise the operation. Use of USPOs unfamiliar to the offender would help ensure the integrity of the operation, but they must be briefed regarding the identification of the offender, vehicles driven, and patterns peculiar to the offender that could prove useful in the surveillance.

Results/evaluation:

The measure of success will be a comparison of the officers' observations during the surveillance with the offender's written accounts of his or her employment activities.

Chief or contact:

S. J. Rackmill Eastern District of New York (718) 330-2642

Chapter XIII Specialized Caseloads

Formation of "Compliance" Caseloads

Issue, problem, challenge being addressed:

With increased caseloads, adequate resources are not available to supervise offenders who require significant amounts of an officer's time.

Objective:

Assign one officer a caseload that consists of 100 to 150 of the office's lowest risk offenders. Removing those offenders from the other officers' caseloads allows them to devote more time to cases in need of closer supervision since the numbers on their caseloads will be lower.

Description of practice:

A tool was developed to categorize cases in several ways to determine their level of need for supervision services. Those cases with the minimal need are assigned to an officer who supervises a large number of similar cases. Proactive activities for those offenders are limited, and a majority of the supervision services are performed from the office. These officers also prepare at least one presentence report each month, sometimes more during times of heavy workload.

Benefits:

Resources are better committed to where they are needed. An officer is available to help with presentence reports when needed.

Resources:

The larger the caseload assigned to the "compliance" officer, the lower the caseload for the remaining officers.

Suggestions for implementations:

Be sure to identify the correct cases: those that are low risk and require minimal contacts.

Results/evaluation:

By creating this "valve" for compliance cases, other caseloads can be kept at a reasonable cap.

Chief or contact:

Barry J. Weiner Middle District of Florida (813) 228-2901, Ext. 147

(A similar practice was submitted by Bunny Green, Southern District of Florida, (305) 273-0119. You may want to contact this district for additional information.)

Intensive Supervision Caseload

Issue, problem, challenge being addressed:

Effective supervision of high-risk cases.

Objective:

To provide a mechanism to concentrate officers' time and resources on supervision of high-risk offenders.

Description of the practice:

A small caseload of high-risk offenders is assigned to one officer who concentrates his or her efforts on intensive supervision. Field visits are conducted by teams that employ all necessary safety practices, including cellular phones, firearms, Capstun, and back-up by local police, when necessary.

Benefits:

Increases protection provided to the community. Allows other officers to concentrate their efforts on offenders who are more likely to succeed and benefit from traditional supervision.

Resources:

One officer devotes full-time to this activity. Additional officers serve as members of the intensive supervision team.

Suggestions for implementation:

Strong support of the chief and the court is required. The officers selected for this duty must have demonstrated good judgment in stressful situations and must strictly adhere to safety regulations. The officer must be able to work evening and weekend hours.

Results/evaluation:

The program has demonstrated that non-compliant behavior is more quickly detected and early intervention obtained. Ongoing evaluation is provided by SUSPO review.

Chief or contact:

Glenn Baskfield District of Minnesota (612) 348-1980

(A similar practice was submitted by Barry Polsky, Eastern District of Pennsylvania, (215) 597-7950. You may want to contact this district for additional information.)

Specialization

Issue, problem, challenge being addressed:

Quality of supervision of cases.

Objectives:

- To improve the quality of supervision.
- Acknowledge limitations of time available to officers.
- Eliminate interference of other aspects of the job, such as writing presentence reports and handling pretrial matters.

Description:

The office has been divided into two units, a pretrial/presentence unit and a supervision unit. Because of the size of our office, we only have one supervisor, who covers both units.

Benefits:

Reinforces the importance of supervision by freeing officers from the distractions of other job responsibilities. The quality of the work has improved in all areas, as a result of specialization. Officer morale has also improved.

Resources:

Initially, there is need for extra personnel time for redistribution of the workload and careful thought needs to be given to office coverage, with more officers out of the office on a regular basis. This planning also needs to involve clerical personnel, who are also affected by specialization.

Suggestions for Implementation:

There is a need to plan more time for training when officers transfer from one unit to another. If they spend a few years in one area of specialization, they are going to need refresher training in certain areas when they transfer to another unit of specialization. Individual strengths must be considered, along with individual preferences, when assigning officers to different units. If possible, some opportunity for movement should be built in.

Results/evaluation:

As noted above, the quality of work and the quality of service to the court and to the clients has improved immensely. Officer morale has also improved.

Chief or contact:

Ellen Krause District of Delaware (302) 573-6179

(Similar practices were also submitted by Jim Dier, District of Kansas, (316) 269-6194; David Looney, District of Oregon, (503) 326-2117; and Robert J. Dew and Robert L. Baird, District of South Carolina, (803) 669-5254. You may want to contact these districts for additional information.)

Chapter XIV Testing for Substance Abuse

Bar Code Mechanism and Offender ID to Record Urinalysis Data

Issue, problem, challenge being addressed:

The program was developed to improve accuracy and efficiency in recording urinalysis data in a database system for report generation and urine screening data analysis.

Objective:

- To improve the efficiency and accuracy of urinalysis data collection.
- To collect urinalysis data into a database on an ongoing basis.

Description of the practice:

The program uses an offender ID system that includes relevant biographical data encoded on a bar code. During urinalysis, the offender presents his or her identification that is scanned by the bar code reader. This information is recorded into a database that maintains a record of the urinalysis, chain of custody information and offender information. The data is later provided to the probation officer and supervisor.

Benefits:

This is an effective and efficient way to maintain a database of urinalysis activities as an alternative to manually recording the information.

Resources:

- Bar code reader and software, at a cost of \$125.
- 386 CPU or greater with 1 MB of RAM.
- Urinalysis program from the Northern District of Illinois.

Suggestions for implementation:

Suggest implementation by automation staff with training to be given to drug unit staff.

Results/evaluation:

Reduction in time required to post urinalysis data. Provides accurate urinalysis data for review and drug program analysis.

Chief or contact:

William T. Foster Northern District of Illinois (312) 435-5704

Contracting with Private Agencies to Collect Urine Specimens

Issue, problem, challenge being addressed:

Officer time and quality of supervision.

Objective:

- To improve the officer's ability to spend more time on other areas of supervision that are often neglected due to the time devoted to collecting urine specimens.
- To improve working relationships between officers by avoiding the negative feelings that arise when officers are called upon to take urine specimens for other officers.
- To help eliminate some offender traffic in and out of the office for the sole purpose of urine specimen collection.

Description of the practice:

The majority of the urine specimen collection is contracted out to other agencies. Most of those agencies also provide a variety of other contract services. Officers occasionally take urine specimens, as appropriate, in the office or in the field. The "instant" urine test screening kit is available in the office, which is sometimes an effective tool for confronting the offender's denial and beginning the intervention process.

Benefits:

Improves officer morale. Greatly improves the officer's ability to concentrate on better quality supervision, by freeing them from the unpleasant drudgery of urine collection. Provides more flexibility for the offenders, by providing more evening hours for urine collection. This is very important for offenders who work full-time.

Resources:

Contract facilities need to be selected with this responsibility in mind. The drug treatment specialist needs to devote time to ensure that the contract agency is handling the collection process appropriately. Usually, the cost can be built into the regular drug treatment contracting costs.

Suggestions for implementation:

The primary responsibility for implementation falls on the drug specialist who must find contract facilities that will handle the urine collection responsibly. Officers also need to have good working relationships with the contract facilities and must be ready to follow up on positive urine specimen notices. Team work between the officer and the contract facility is important.

Results/evaluation:

The officer and the rest of the office staff find the office working atmosphere improved with the reduction in foot traffic for urine collection only. We have been fortunate in selecting good contract facilities for the collections process. The agency staff have flexible hours and are able to call offenders in with 24-hour notice for random collection. It has probably also resulted in a greater number of violations of supervision, which some could view as "failures." On the other hand, this may be positive in that it is a sign that we are doing a better job of monitoring the serious drug abusers.

Chief or contact:

Ellen Krause District of Delaware (302) 573-6179

(A similar practice was also submitted by Alvin Ho, District of Hawaii, (808) 541-1283. You may want to contact this district for additional information.)

Initial Drug Testing

Issue, problem, challenge being addressed:

Offenders with a special condition for drug testing or treatment often begin supervision with a substance use or abuse issue that needs to be addressed directly.

Objective:

To detect drug use as early as possible and begin intervention.

Description of the practice:

Each offender assigned to DATS will be required to submit to drug testing (through hand held testing or PharmChem laboratories) during the time of his or her initial meeting with the DATS.

Benefits:

Early detection of drug use or abuse heightens the offender's awareness of the certainty of drug testing and may deter future drug use.

Resources:

Personnel time used in conjunction with urine surveillance material already in use.

Suggestions for implementation:

None.

Results/evaluation:

Each positive test allows for immediate intervention. A comparison can be made with the recovery rate of an offender whose testing did not begin immediately with those whose testing did begin with the initial visit.

Chief or contact:

James McKinley and Alice Conley Western District of Tennessee (901) 544-3256

Notification of DAPS Violations by Contractor

Issue, problem, challenge being addressed:

Time frame between the incident and notification of the officer resulted in a slow response to and timely implementation of treatment or sanctions.

Objective:

Immediate notification to allow a timely response by the officer.

Description of the practice:

When an offender submits a positive urine specimen or misses an appointment, a notification form is faxed to the supervising probation officer with a copy to the officer's supervisor. The original of the form is mailed the same day to the probation office.

Benefits:

Timely response to violations, quicker third-party risk notification, and enhanced intervention to relapse.

Resources:

Requires additional time and effort from the contractor. A Fax machine must be available at each office.

Suggestions for implementation:

Involve the contractor in implementation and explain the benefits in terms of treatment of the offender.

Results/evaluation:

Compliance can be reviewed monthly by the drug specialist or supervisor.

Chief or contact:

Leonard J. Bronec District of Kansas (913) 551-6717

Offender Urinalysis Tracking and Weekly Reporting

Issue, problem, challenge being addressed:

Tracking and reporting of offender urinalysis results and district statistics.

Objective:

This practice is used as a tool to manage drug caseloads and provide statistical data for the district.

Description of the practice:

A computer application is used to import urinalysis results into a database from laboratory reports that are transmitted electronically from PharmChem. Two weekly reports are generated from the database. The first is a status report sorted by the case USPO and offender to aid in case management and supervision. The case USPO receives his or her status report and supervisors receive the reports on all officers in their unit. The second report is a listing of all positive results from the beginning of the year sorted by case USPO, offender, and specimen date. Our office plans to expand this application to (1) determine an offender's drug aftercare phase, and (2) track drug aftercare expenditures and payments, by comparing actual tests performed with invoice data.

Benefits:

Data on urinalysis results is readily available for case management and supervision. The reports provide information on district statistics for the number of positives per year for a specific drug and historical data to calculate the annual percentage increase or decrease in drug use. The reports also help to expedite the verification of payment for services performed, and provide historical data for drug aftercare expenditures that can be utilized to formulate yearly budget requests.

Resources:

Clerical staff assigned to drug aftercare for data input and generation and distribution of weekly reports.

Suggestions for implementation:

Contract drug aftercare facilities must send a copy of the chain-of-custody forms so that results can be tied to offender data.

Results/evaluation:

USPOs and SUSPOs can manage and supervise drug caseloads more effectively. Statistical district data is now readily available for drug aftercare. Clerical logging of results is no longer required. Verification of actual tests performed with invoice data will be greatly expedited. Actual drug aftercare

expenditures will be available to determine budget requirements. Examples of the weekly reports are available upon request.

Chief or contact:

Nicholas P. Muller Western District of Pennsylvania (412) 644-5424

(A similar practice was also submitted by Eugene Wesley, Jr., District of the District of Columbia, (202) 273-0180. You may want to contact this district for additional information.)

Paying for Urinalysis Collection on a Per-Hour Basis

Issue, problem, challenge being addressed:

Urine specimen collection on drug aftercare cases can be expensive when done on a per-urine basis. This practice is intended to reduce the cost.

Objective:

- To reduce the number of urine specimens collected by probation officers.
- To reduce the cost of urine specimen collection by persons other than probation officers.

Description of the practice:

In FY 95, we are soliciting to have urine specimens collected by outside agencies at the U.S. probation office in Philadelphia with payment on a perhour, rather than per-specimen, basis. Most of the urines collected in this district are collected by probation officers rather than contract programs. As a result, there is a large number of urines collected. Considering the high cost of collecting urines on a per-specimen basis, we decided to contract for collection on an hourly basis, which would greatly reduce the cost.

Benefits:

Reduces the cost of urine specimen collection. Frees up probation officers' time. Greatly reduces the cost of urine specimen collection by outside agencies. The cost of collections, according to the national average on a per-urine-specimen basis would have exceeded \$125,000 for the fiscal year. We estimate that we will spend approximately 40% of this amount by contracting for collection on an hourly basis.

Resources:

Allocated funds for drug aftercare.

Suggestions for implementation:

Current drug aftercare standards allow probation offices to develop specialized local services. This service can be developed for other districts that have sufficient volume to warrant collection paid for on an hourly basis.

Results/evaluation:

Survey officers to determine the effectiveness of the program.

Chief or contact:

Barry Polsky Eastern District of Pennsylvania (215) 597-7959

PB3000 Alcohol Testing for Alcohol Aftercare

Issue, problem, challenge being addressed:

Additional random monitoring of offenders with alcohol problems or a special condition of no use of alcohol.

Objective:

Identify offenders who are abusing alcohol and monitor special alcohol conditions.

Description of the practice:

A PBA3000 alcohol test is conducted in the field by the USPO on a random basis on offenders with a history of, or one who is suspected of, abusing alcohol.

Benefits:

Aids in identifying those offenders with alcohol problems and determining the need for referral to outpatient sources.

Resources:

PBA3000 alcohol monitors are provided for USPOs use. Each test takes approximately five minutes of the probation officer's time during a field or office visit.

Suggestions for implementation:

Clearly explain to the offender how the alcohol testing works and the need to refrain from abusing alcohol.

Results/evaluation:

Offenders are more focused on the need to refrain from alcohol use and abuse and those offenders with alcohol problems are easily identified.

Chief or contact:

Michael A. Smith District of Kansas (913) 551-6717

Pilot Program in Hand-Held Drug Testing

Issue, problem, challenge being addressed:

Referrals and treatment for drug offenders; funds for treatment.

Objectives:

Immediate identification of drug abusers and concurrent referrals.

Description of the Practice:

A hand-held testing device manufactured to individually test for a specific drug. The device can be ordered for any of the drugs seen by officers in their daily supervision. In the field or office, an officer can randomly conduct this pretest to determine if certain drugs are present. Based on the test results, the officer can make referrals for treatment, provide counseling, etc. This test should be used only for treatment purposes, not directly in the course of violation proceedings. Positive findings from this test should always be sent to PharmChem for confirmation. However, the offender should be confronted with a positive test result.

Benefits:

Allows immediate supervision response for high-risk treatment needs. If used appropriately, this practice should reduce urinalysis expenditures.

Resources:

Done in conjunction with regular supervision, hand-held drug testing should only minimally increase the time spent with an offender. The cost presently runs at about \$2.00 per test.

Suggestions for implementation:

See description of practice above.

Results/evaluation:

Although we clearly recognize it as a valuable tool for immediate needs, the final results of our program are still under advisement.

Chief or contact:

Walter Black, Jr. Middle District of North Carolina (910) 333-5341

(Symposium participants recommend checking with federal and state EPAs or similar agencies for regulations on disposal of hazardous waste that results when using this testing procedure.)

Random Urine Surveillance Employing Electronic Pagers

Issue, problem, challenge being addressed:

The Phase System is the recommended method of drug abuse detection to be used in supervising offenders. However, it poses some problems in rural districts with offenders who have employment or living conditions that make it difficult to summon them for a random urine sample, such as no access to a phone in their residence, irregular work hours, travel, (driving a delivery truck), inaccessible at the workplace, (logging), etc.

Objective:

To increase the validity of urine surveillance while decreasing the cost of collection under the Phase System.

Description of the practice:

Using an electronic pager, supervisees can be easily summoned to a predetermined location for random urinalysis testing two or three times per month. Offenders sign an agreement to participate in this program.

Benefits:

For pretrial cases, the cost savings were \$10.50 per defendant per month. For supervision cases, the monthly savings were \$17.90 per offender for those in Phase I and \$3.90 for those in Phase II. There was a monthly cost increase of \$3.90 for those in Phase III. There is also a significant time savings for the officer.

Resources:

This practice requires a purchase order agreement with a vendor that is under a GSA contract, such as Metromedia.

Suggestions for implementation:

Contract for tone only service.

Results/evaluation:

The devices have been completely reliable. When paged, the supervisees always responded. All specimens collected are randomly collected. It is generally recognized that random collection is more valid than scheduled samples.

Chief or contact:

Thomas K. Tarr District of New Hampshire (603) 225-1515

Surprise Urinalysis Program

Issue, problem, challenge being addressed:

To provide a random urine collection program that requires daily offender call-in.

Objective:

Ensure that all cases are meeting the required urine collection schedule and that all urines are collected on a random basis.

Description of the practice:

Offenders are assigned a color code based upon their urine Phase schedule. They are required to call in daily to determine whether their color is scheduled for a urine screen. Urine dates are selected at random. Extended office hours are observed on urine collection days to accommodate offenders who are unable to report during regular work hours. Offender response and urine results are centrally monitored.

Benefits:

Tracking Phase urine requirements and offender compliance is centrally controlled and monitored. This frees up some officer time. It deters drug and alcohol abuse. It puts responsibility on the offenders. There is less opportunity to beat the system.

Resources:

Dedicated 1-800 phone lines and recorder or voice mail system. Software program and computer for tracking urine tests and results.

Suggestions for implementation:

Recommend implementing this program in a branch office as a pilot project prior to implementing it district-wide.

Results/evaluation:

The software component is currently in development. Feedback from probation officers has been favorable as to time savings. Analysis of data related to a reduction in substance abuse has not yet occurred.

Chief or contact:

Dan K. Martin Eastern District of North Carolina (919) 856-4457

(Similar practices were also submitted by David Looney and Eric Suing, District of Oregon, (503) 326-2117 or (503) 231-2090; Don Hardaway and Thom Densmore, Northern District of Texas, (214) 767-3010; and Dan King, Western District of Washington, (206) 553-7435. You may want to contact these districts for additional information.)

Twenty-Four Hours, Seven-Days-Per-Week Contractor Availability for UAs

Issue, problem, challenge being addressed:

Making random UAs truly random and a challenge for offenders who are good at beating the system.

Objective:

To ensure that offenders have twenty-four hour access for UAs.

Description of the practice:

Require twenty-four-hour-per-day coverage for UAs from the contractor. This may require separate contracts for treatment and UAs within the same geographic region.

Benefits:

Dramatically decreases the chance that an offender will slip through the cracks and, thus, allow drug use to go undetected. Round-the-clock access is also a convenience for offenders.

Resources:

Extra work for the budget or administrative analyst if there are two contracts in each geographic area. The DATS officer will have to monitor two contracts per area. Attempt to find one contractor who offers both treatment and twenty-four-hour coverage.

Suggestions for implementation:

During the next contracting cycle, seek out sources for twenty-four-hour coverage for UAs.

Results/evaluation:

Calls to USPOs from offenders complaining about reschedules are dramatically reduced. No-shows are true no-shows without the excuse that the contractor was closed or unavailable. Cooperative offenders are appreciative. Decreases weekend drug use. Positive comments have been received from the officers who indicate that this program works.

Chief or contact:

Michael Ebinger Northern District of Iowa (319) 364-7058

Use of On-site Laboratory for Drug Testing Urinalysis

Issue, problem, challenge being addressed:

Over the years, we have experienced recurring problems with the accuracy and timeliness of urine test results. More recently, we have had to reduce the frequency of testing due to the cost of the national contract lab analysis.

Objective:

To provide cost-effective, timely and accurate drug test results responsive to local office needs.

Description of the practice:

In 1981, our office set up an onsite SYVA-Emit laboratory; we have conducted our own laboratory analysis since that time. Space was allocated for the laboratory as described in the court's *Design Guide*. A POA serves as coordinator of the testing program and operates the laboratory. Another staff member serves as a back-up lab operator. We use the national contract lab to validate contested results; however, we rarely find the need to do so.

Benefits:

While many pretrial services offices have set up on-site labs, not many probation offices have done so. We feel that the labs are equally advantageous for a probation office. Timely results (same day or next day) greatly increase the likelihood of successful intervention. We can decide the drug screening that should be done. Since we can control our budget, and use reprogrammed funds if necessary, we can maintain a good testing frequency.

Resources:

The cost of state-of-the-art laboratory equipment can be \$15,000—25,000. A plan can be selected with SYVA to amortize the cost into the ongoing budget for reagent chemicals. We analyzed approximately 7,600 specimens in 1993. The cost for reagents and supplies was approximately \$25,000 or \$3.29 per specimen. These figures do not include the salary of the POA. During a sixmonth suspension of laboratory operation, we found that almost all of the POA's time was required to coordinate our testing, perform liaison with the national lab and reconcile lab billing. The total cost of reagents and staff salary compares favorably to the cost of use of the national lab. SYVA will provide training to certify lab operators.

Suggestions for implementation:

Talk to the government representative from the SYVA company regarding financial options. Visit a district or office with a lab to review the operation. Talk to the AO probation division regarding options for establishing a lab.

Results/evaluation:

We have been operating a lab for over 13 years. We have been very pleased with the results and it has stood the test of scrutiny from the courts and the local bar. We participate in proficiency testing and routinely score 100%. The AO's drug testing consultant was very pleased with our lab operation. Officers have confidence in results and become more conversant with testing methodology.

Chief or contact:

Gene Kolbe Western District of Washington (206) 553-7435

Chapter XV Training Resources

Mental Health Resources Manual

Issue, problem, challenge being addressed:

Expeditious access to county-funded mental health services, particularly in crisis situations.

Objective:

To establish a referral network of community-based mental health treatment agencies to ensure that services are easily accessible to offenders with mental health disorders.

Description of the practice:

Information is collected from individual mental health agencies, primarily through telephone contact or a mailing, and compiled in a manual for the officer's use. The manual is continually updated.

Benefits:

- Timely assistance from state-and locally-funded treatment agencies.
- Reduction of cost of treatment provided under BOC 2530.
- Continuity of treatment for newly released offenders.

Resources:

Personnel time.

Suggestions for implementation:

- The mental health specialist can be responsible for collecting data and formatting the manual.
- Requires periodic contact between mental health specialist and agencies.
- Disseminate instructions on use of the manual to the staff.

Results/evaluation:

Better use of resources. More offenders receive treatment.

Chief or contact:

Barry W. Polsky Eastern District of Pennsylvania (215) 597-7959

New Officer Certification Program in the Fundamentals of Supervision Services

Issue, problem, challenge being addressed:

- Individuals appointed as USPOs in this district have little, if any, experience in the field of corrections. Most have recently completed an undergraduate degree in a related field. For many, this is their first job.
- Recruiting qualified staff has been a major problem in this district, because staff must travel long distances away from our U.S. court house to find affordable housing and they spend several hours each day commuting to work.
- This district is facing a tremendous turnover of experienced officers
 within the next three years due to numerous retirements. Since the
 majority of these officers are assigned to supervision services, the staff
 turnover will most dramatically effect that group.

Objective:

- To develop a means to ensure new officers receive instructions tailored to the performance standards for supervision.
- To give new officers a clear, concise, and realistic understanding of Supervision Services' standards.
- To build skills of new officers so that successful delivery of quality services remains constant during the transition.

Description of the practice:

A ten-module, 120-hour, training program has been developed. A lesson plan has been designed for each module. The training program begins with a three-day agenda, followed by weekly meetings. Participants provide a written evaluation of each module. Upon completion of all segments of the program, the participants receive certification in Fundamentals of Supervision Services.

Benefits:

- Provides staff entering field services with an understanding of their legally-mandated duties and the means to implement their responsibilities.
- The training emphasizes protection of the community through enforcement of conditions, reduction of risk, and use of community resources.
- Social casework skills and protection of the community are balanced to bring about improvement in the conduct and condition of persons under supervision.
- Standardizes operational content for new officer staff in supervision services.

Resources:

Personnel time.

Suggestions for implementation:

Lay out a list of implementation activities on a time-line, assign activities, provide resources, and follow up on results.

Results/evaluation:

Performance of new officers becomes significantly more reliable and generally meets or exceeds service requirements as the result of exposure to a comprehensive training program. The training helps new officers establish a sense of purpose, direction and focus on the objectives of supervision services. Implementation of this program significantly strengthens management's confidence in the future quality performance of new staff. Management can be confident that vital skills are being developed for the workforce of the future.

Chief or contact:

Robert M. Latta Central District of California (213) 894-3610

Reference Guide for Supervision of Federal Offenders

Issue, problem, challenge being addressed:

- Need to develop consistent standards and interpretations of district supervision practices.
- Understand and implement internal procedures and policies regarding supervision.

Objective:

Develop a guide that will provide:

- standardized supervision strategies and consistent policy implementation practices throughout the district;
- detailed information concerning such issues as the criteria for violations;
- risk control and correctional treatment policies; and
- directives on search and seizure, use of informants, and the various criteria established for assorted supervision functions.

Description of the practice:

Development of the guide.

Benefits:

The supervision guide provides all officers a compact source of information concerning supervision activities. This guide augments Monograph 109 and can be used by supervisors to help officers understand the numerous issues they confront in implementing the enhanced supervision program.

Resources:

Minimal.

Suggestions for implementation:

The senior officers, training officer or supervisor should compile the guide and distribute it to staff.

Results/evaluation:

This reference guide assists in ensuring that probation officers are aware of inhouse procedures concerning the implementation of supervision programs. It minimizes misunderstandings, provides clarity through examples, and is a source of information for the entire staff. The end result is a standardized application of supervision practices throughout the district by means of a readily available desk reference for all personnel.

Chief or contact:

S. J. Rackmill Eastern District of New York (718) 330-2642

(A similar practice was also submitted by Vicki G. Padgett, Middle District of Florida, (904) 232-3991. You may want to contact this district for additional information.)

Training as Related to Enhanced Supervision

Issue, problem, challenge being addressed:

To identify and provide skills development to improve supervision practices.

Objective:

To design and implement in-district training programs that support enhanced supervision practices and polices.

Description of the practice:

Develop a committee to meet with staff to identify needs, write lesson plans, broker services, and contract or coordinate with the FJC to provide ongoing training to support officers in carrying out supervision duties.

Benefits:

- Increase in specific job skills.
- Improve morale.
- Creates a vehicle for communication, can teach new programs, convey information about policy changes, and invite feedback from staff.

Resources:

Personnel time. Need one staff member to coordinate committee activities.

Suggestions for implementation:

Need volunteers, preferably from all levels of staff, who will commit to meet at least once every six weeks, and take the responsibility to run or coordinate the programs. Chief's support is also needed.

Results/evaluation:

Seminar evaluations confirm an increase in the perception of skill enhancement, an improved attitude toward the job and good feelings about better communication and support.

Chief or contact:

Barry W. Polsky Eastern District of Pennsylvania (215) 597-7959

Use of BOC 2543—Training Enrollments for Local Training

Issue, problem, challenge being addressed:

Targeting funds to cover tuition costs for attendance at local seminars or training programs.

Objective:

As a decentralized district, we decided to re-program monies from other accounts into BOC 2543 for local training.

Description of the practice:

When an officer or the program development coordinator learns of a possible seminar, workshop or other training event that would enhance the skills of an officer, a request is sent to the chief probation officer asking for permission for the officer to attend and funds to pay for the training. Occasionally, it is also necessary to use BOC 2120 travel monies to reimburse travel and per diem costs. The training is usually local and other seminar fees range from \$25-\$65.

Benefits:

Officers receive skills-based training that adds to their professional growth and development and also improves their supervision skills.

Resources:

The program development coordinator identifies the training resource, the chief authorizes the expenditure and the budget analyst reconciles the bill.

Suggestions for implementation:

Since this is an unfunded BOC, districts choosing to use it will need to reprogram monies from other funds. Due to the size of the employee pool in larger districts, it may be necessary to prioritize the types of training that will be most valuable to the district that will offer the best return for the dollar.

Results/evaluation:

Training keeps staff fresh, current, and it provides an opportunity for them to network with others. Training helps officers hone skills, makes them more efficient and productive, and helps avoid burnout.

Chief or contact:

W. Dan Broome District of North Dakota (701) 239-5355

Appendices

Memorandum to Chiefs Soliciting Practices

THE FEDERAL JUDICIAL CENTER

THURGOOD MARSHALL FEDERAL JUDICIARY BUILDING
ONE COLUMBUS CIRCLE, N.E.
WASHINGTON, DC 20002-8003

COURT EDUCATION DIVISION TEL: 202-273-4115

FAX: 202-273-4020

DATE: April 28, 1994

TO: Chief U.S. Probation Officers
FROM: Kate Lynott, Training Specialist

SUBJECT: Effective Practices in Enhanced Supervision

As part of a system-wide effort to improve the quality of community supervision, the Federal Judicial Center is seeking to identify effective practices in Enhanced Supervision currently in place throughout the country. Those that meet certain criteria and standards will be included in an educational document published by the Center and distributed nationwide in the fall of 1994. Chiefs will be able to benefit from their shared expertise and experiences. They will be able to reference these practices to determine which ones can be used, in part or in whole, in their districts.

This effort is supported by the Chiefs Advisory Council, its Supervision and Education and Training Committees, and the Probation and Pretrial Services Division of the Administrative Office. Planning Committee members included Terry Callahan, CUSPO, Utah, Jim Duckett, CUSPO, South Carolina, Jim Provence, CUSPO, Kentucky Eastern, Susan Rodolf, SUSPO, Texas Western, and Harold Wooten, Probation and Pretrial Services Division. Fahy Mullaney, our consultant, previously worked with the chiefs to develop the mission and vision statement.

We are asking you to contribute to this effort by sharing information about practices, strategies, programs, or procedures that have improved your supervision effort. We have enclosed a copy of the standards and criteria established by the planning committee, and a one page form to use to describe the practice. Please limit the information to one page. We have included two samples to illustrate the range of ideas that fit the criteria. Think in terms of what works in your district that might benefit others. Have you realigned staff? Have you given new or different assignments to your clerical staff? How have you effectively increased community supervision with current resources? How do you communicate the importance of quality supervision to your staff?

Once the proposed effective practices have been collected and identified, they will be reviewed and discussed at a symposium in June 1994. We have invited a small group of chiefs and staff of the Probation and Pretrial Services Division to join us in reviewing and selecting for publication those practices which meet the criteria. The name of your designated representative at the symposium is listed as the sponsor on the bottom of the attached form. That chief will present your contributions to the group. **Please send your completed forms to him or her by May 12.**

This is an exciting and challenging opportunity for the system to learn from itself. It will be a chance to discover and share the solutions to problems, the creative and innovative approaches to supervision, the practical, transferable, ideas that simply work well. It is a project that everyone can contribute to and everyone can benefit from. For it to be successful and useful, we need your input. Please take the time now to fill out the forms and contribute your most effective practices.

Thank you for your support of this project.

Attachments:

Criteria for Effective Practices Form for Effective Practices Samples of Effective Practices

- 1. Ride Along
- 2. Copayment Plan

Memorandum to Symposium Participants

THE FEDERAL JUDICIAL CENTER

THURGOOD MARSHALL FEDERAL JUDICIARY BUILDING
ONE COLUMBUS CIRCLE, N.E.
WASHINGTON, DC 20002-8003

COURT EDUCATION DIVISION TEL

TEL.: 202-273-4115 FAX: 202-273-4020

DATE: May 3, 1994

TO: Chief U.S. Probation Officers
FROM: Kate Lynott, Training Specialist

SUBJECT: Effective Practices in Enhanced Supervision

Thank you for accepting the invitation to participate in the Federal Judicial Center's Symposium on Effective Practices in Enhanced Supervision to be held at our Academy from June 1 through June 3, 1994.

As part of a system-wide effort to improve the quality of community supervision, this symposium is supported by the Chiefs Advisory Council, its Supervision and Education and Training Committees, and the Probation and Pretrial Services Division of the Administrative Office. Planning Committee members included Terry Callahan, CUSPO, Utah, Jim Duckett, CUSPO, South Carolina, Jim Provence, CUSPO, Kentucky Eastern, Susan Rodolf, SUSPO, Texas Western, and Harold Wooten, Probation and Pretrial Services Division. Fahy Mullaney, who worked with the chiefs previously to develop the mission and vision statement, is our consultant.

The Federal Judicial Center is seeking to identify and publish effective practices in Enhanced Supervision currently in place throughout the country. Those that meet certain criteria and standards will be included in an educational document published by the Center and distributed to all districts in the fall of 1994. Chiefs will be able to benefit from their shared expertise and experiences. They will be able to reference the publication to determine which practices they can implement that will help them to improve supervision in their own districts.

The goal of the symposium is to determine the contents of the publication by:

- collecting and identifying effective practices in supervision of the offender currently in place throughout the system;
- reviewing and discussing the practices submitted by the districts; and

• selecting for publication those practices which fit the criteria set forth by the committee and attached to this letter for your reference.

Participants at the symposium will also explore in depth several particularly innovative programs.

The design of the program includes small group work and plenary group discussions. To accomplish our goals, it will be important for all participants to be present and involved from the opening session at 9:00 on Wednesday morning to adjournment at noon on Friday. If you cannot commit to the full program, please contact me.

As a participant in the symposium, we are asking you to do the following:

- Carefully review the enclosed "Criteria for Effective Practices" as set forth by the committee.
- Using the attached form, contribute examples of effective practices currently in place in your district.
- Contact the chiefs on your list (see attached) and encourage them to submit their own effective practices to you.
- Familiarize yourself with the details of their entries and be prepared to present and explain them in a small group at the symposium.
- Send copies of all of the completed forms to me by May 18. The chiefs on your list have been asked to get their information to you no later than May 12, 1994

We have included two samples to illustrate the range of practices, policies, and strategies that fit the criteria. Think in terms of what works in your district that might benefit others. Have you realigned staff? Have you given new or different assignments to your clerical staff? How have you effectively increased community supervision with current resources? How do you communicate the importance of quality supervision to your staff?

We will be discussing all of the effective practices submitted by the districts in small groups at the symposium. It will be your task to present and judge all of the ideas fairly and to come to consensus quickly as to which ones will be selected for publication and nation-wide distribution. Our time is limited. We will need to stay focused on the topic at hand, the here and now of this project. By Friday at noon, we must leave with the document largely written, ready for editing and printing.

This is an exciting and challenging opportunity for the system to learn from itself. It will be a chance to discover and share the solutions to problems, the creative and innovative approaches to supervision, the practical, transferable, ideas that simply work well.

Included in your packet of attachments is your travel authorization. As we typically do for programs held at MITAGS, we will make room reservations for you. Since lodging and meals are included, your reimbursable expenses are limited to travel to and from the facility.

The official program begins at 9:00 a.m. on Wednesday, June 1, 1994. We would like to extend an invitation to join us for a reception on Tuesday evening from 7:30-9:30 p.m. We look forward to working with you on this project, and again thank you for agreeing to be a part of it.

Attachments include:

- Criteria for Effective Practices
- Form for Effective Practices
- Two Samples of Effective Practices
 - 1. Ride Along
 - 2. Copayment Plan
- Chief Contact List
- Travel Authorization
- Draft Agenda
- Draft Participant List

Effective Practices Criteria

The Federal Judicial Center is seeking to identify effective practices in Enhanced Supervision currently in place throughout the country. You are invited to share the practices—programs, strategies, policies—that have improved supervision in your district. Those that meet certain criteria will be included in an educational document that will be distributed nationwide in the fall of 1994. Chiefs will be able to reference these practices to determine which ones can be used, in part or in whole, in their districts.

Please use the enclosed form to describe the practice(s) you would like to share and have considered for publication. We have included two different examples of Effective Practices for your reference.

The criteria are as follows:

- The practice is currently in place in the district.
- There is a clear statement of the goal and objective.
- The practice can be done with resources currently available in the district (that is, not what could be done if only we had more officers, more money, more equipment).
- The practice adheres to national policies and procedures, and the tenets and principles of Enhanced Supervision.
- The practice has wide application and is not just addressing a districtspecific issue or problem.
- The effectiveness can be measured
 either on its own merit (on the face of it, it makes sense and works), or
 it can be objectively evaluated (for example, there is a measurable
 increase in fine collections, or a measurable decrease in the number of
 positive urines).
- The practice is fiscally responsible and cost effective (immediate or long term).

Effective Practices in Enhanced Supervision *Form*

Practice : (Title)	
Issue, problem, challe	nge being addressed:
Objective: (Goal, effect, anticipated outc	rome)
Description of the pra (Program, policy, strategy)	actice:
Benefits:	
Resources : (Time, money, space, personne	el)
Suggestions for imple (Tips, potential problems)	ementation:
Results/Evaluation: (Methodology for evaluation o	or statement of why you believe practice works)
Chief and/or Contact:	Name: District: Phone:

Sponsor:

(Chief responsible for presenting practice at the Symposium)

Effective Practices: Enhanced Supervision

Federal Judicial Center • 1994

Effective Practices in Enhanced Supervision

Practice:

(Title)

Ride Along

Issue, problem, challenge being addressed:

Field supervision

Objective:

(Goal, effect, anticipated outcome)

To improve the quality of field supervision Stress importance of supervision

Description of the practice:

(Program, policy, strategy)

Approximately one day per month the chief accompanies a line officer on a routine field day. Sometimes the day is set by appointment and other times the chief simply shows up and travels with officer going out into the field. The chief occasionally follows up with a note pointing out good supervision practices he has observed.

Benefits:

Reinforces chief's interest in and support of the importance of supervision. Chief becomes aware of safety issues faced by officers in the field. Provides an opportunity to get to know staff, and get first hand feedback from staff. Possible insight into issues, problems and solutions that may not have otherwise come to the chief's attention.

Resources:

(Time, money, space, personnel)

5% of chief's time

Suggestions for implementation:

(Tips, potential problems)

If this is a new practice, the chief needs to prepare for initial resistance from staff by making the objectives clear.

Results/Evaluation:

(Methodology for evaluation or simple statement of why you believe practice works)

Ride alongs impress on the staff the chief's interest in supervision. Officers are more focused on the purpose of field contacts. Could be evaluated by surveying SUSPOs to determine impact on officer's supervision practices.

Chief and/or Contact: Name: Jim Duckett

District: South Carolina Phone: 803-253-3330

Sponsor:

(Chief responsible for presenting practice at the Symposium)

Jim Duckett

Effective Practices in Enhanced Supervision

Practice:

(Title)

Drug Aftercare/Mental Health Offender Co-payment Plan for Contract Vendors/Urinalysis Fee

Issue, problem, challenge being addressed:

BOC 2526 - to supplement allotments from AO while providing a more comprehensive drug aftercare treatment program.

Objective:

(Goal, effect, anticipated outcome)

To reduce costs to the government and taxpayers while providing maximum therapy or counseling to all offenders with drug aftercare conditions and needs.

Description of the practice:

(Program, policy, strategy)

Each participant submits a minimum 3% of his net income (after subtracting any payments for fines, restitution, and verified child support) towards DAC contract services. Collect a standard urinalysis fee for all offenders with a UA condition.

Benefits:

Additional funds credited to BOC 2526 Increase in offender responsibility

Resources:

(Time, money, space, personnel)

Personnel time

Suggestions for implementation:

(Tips, potential problems)

- Convince judges to order co-payments consistently.
- Consistent collection by officers.
- Coordination of collection and crediting of funds with clerk of court

Results/Evaluation:

(Methodology for evaluation or simple statement of why you believe practice works)

Dollar amount credited back to BOC 2526

Chief and/or Contact: Name: Thomas G. Ogden

District: Utah

Phone: 801-524-5176, extension 3573

Sponsor:

(Chief responsible for presenting practice at the Symposium)

Terry F. Callahan